

(B)(6)
(B)(7)(c)

[REDACTED]

From: Bharara, Preet (USANYS)
Sent: Friday, September 18, 2009 9:41 AM (B)(6)
To: [REDACTED] (USANYS) (B)(7)(c)
Cc: [REDACTED] (USANYS)
Subject: Re: NYSBA WHITE COLLAR MTG - Ocotber 27, 2009

Great, thanks.

[REDACTED] (USANYS) (B)(6)
To: Bharara, Preet (USANYS) (B)(7)(c)
[REDACTED] (USANYS) (B)(5)
Sent: Fri Sep 18 09:32:40 2009
Subject: RE: NYSBA WHITE COLLAR MTG - Ocotber 27, 2009

[REDACTED]

From: Bharara, Preet (USANYS)
Sent: Thursday, September 17, 2009 11:40 PM (B)(6)
To: [REDACTED] (USANYS) (B)(7)(c)
Cc: [REDACTED] (USANYS)
Subject: Fw: NYSBA WHITE COLLAR MTG - Ocotber 27, 2009

Invitations coming fast and furious. I assume this one's okay? Thanks.

From: [REDACTED]
To: Bharara, Preet (USANYS)
Sent: Thu Sep 17 17:29:44 2009
Subject: NYSBA WHITE COLLAR MTG - Ocotber 27, 2009

Dear Preet,

First, congratulations and welcome back to SDNY. Second, I'd like to invite you to be the guest speaker at the New York State Bar Association White Collar Committee meeting on October 27, 2009 from 6 to 7:30 pm hosted at my firm's offices in midtown. Former SDNY alumni, [REDACTED] chair this 35-member committee. Most of the committee members are former SDNY alumni and all of us would like to welcome you back to the SDNY and learn more about your enforcement priorities (or hear any other remarks that you would care to share with our group). A light meal is served and typically the meetings wrap up no later than 7:30 pm. It would be awesome if you could speak. (B)(6)

All the best, [REDACTED]

(B)(6)

[REDACTED]

(B)(6)
(B)(7)(c)

[REDACTED] (USANYS)

From: [REDACTED] (USANYS) (B)(6)
Sent: Wednesday, September 16, 2009 10:44 AM (B)(7)(c)
To: Bharara, Preet (USANYS)
Subject: CFTC Cooperative Enforcement Conference, Washington D.C. 9/30/09
Attachments: Agenda 8-9-09.pdf (B)(5)

Preet, [REDACTED]
[REDACTED]
[REDACTED]

[REDACTED] (B)(6)

(B)(7)(c)

-----Original Message-----

From: Bharara, Preet (USANYS)
Sent: Tuesday, September 15, 2009 5:47 PM
To: [REDACTED] (USANYS) (B)(6)
Subject: Fw: (B)(7)(c)

Another one.

----- Original Message -----

From: [REDACTED] (USANYS) (B)(6)
To: Bharara, Preet (USANYS) (B)(7)(c)
Sent: Tue Sep 15 17:42:04 2009
Subject: RE:

Here is the agenda. Your panel is in DC at 9:30 am on September 30. Here is the panel:

9:30 - 10:45 Ponzi and other Financial Fraud Schemes: Madoff, Stanford, and Commodity Pool/Hedge Fund scams

[REDACTED] Acting Director, Division of Enforcement, CFTC [REDACTED] i, Director, Division of Enforcement SEC
[REDACTED] Principal Deputy Chief, Fraud Section, Criminal Division, DOJ United States Attorney Office, SDNY

(B)(6)
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Let me know if you have any questions.

[REDACTED] (B)(6)

(B)(7)(c)

-----Original Message-----

From: Bharara, Preet (USANYS)
Sent: Saturday, September 12, 2009 9:22 AM (B)(6)
To: [REDACTED] (USANYS) (B)(7)(c)
Subject: Re:

I should do it I think. Can you forward a program, if there is one and let me know the time?

(B)(6)

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From: [REDACTED] (B)(6)
Sent: Monday, August 16, 2010 4:00 PM
To: [REDACTED] (USANYS) (B)(6) (B)(7)(c)
Subject: New York City Bar Association Speech

The New York City Bar Association is truly delighted that the United States Attorney for the Southern District, Preet Bharara, will be speaking at the House of the Association, 42 West 44th Street, on Wednesday, October 20th at 7:00 pm. As is our custom, we would give our members an opportunity to ask questions after Mr. Bharara's talk. We would like to have the title of the talk ahead of time so we could include it in notices of the event.

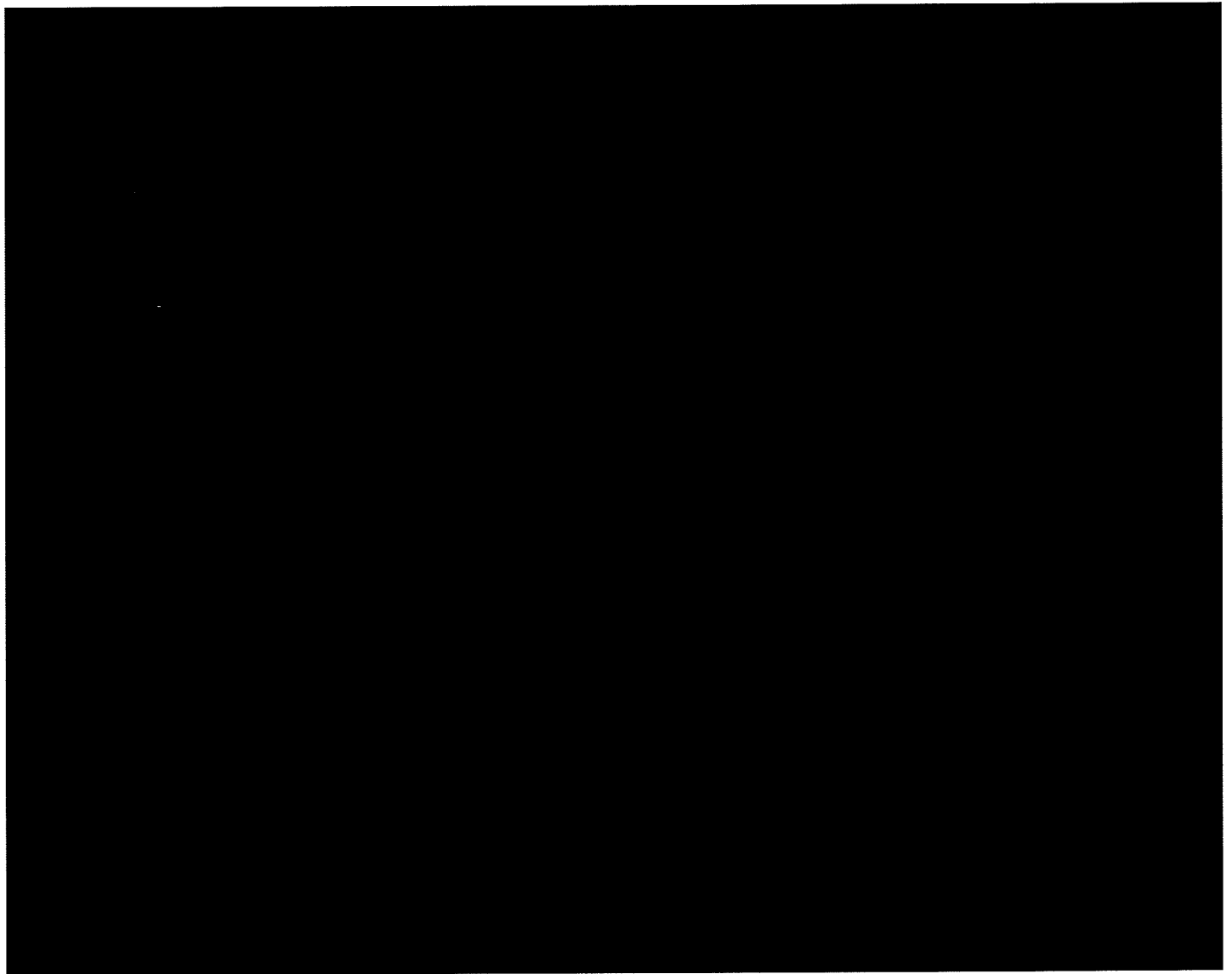
A reception will follow the lecture. We are truly looking forward to a wonderful evening.

(B)(6)

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(B)(7)(c)



From:



(B)(6)

Sent: Monday, October 25, 2010 4:41 PM

To: [Redacted] (USANYS)

(B)(6)

(B)(7)(c)

Subject: Tenth Annual TAF Education Fund Conference

Attached is a tentative agenda for this year's conference.



(B)(6)

From: Bharara, Preet (USANYS)
Sent: Tuesday, February 23, 2010 7:37 PM

Subject: FW: National Association of Former United States Attorneys (NAFUSA)

Folks, can you please calendar this for me? and, John, I assume this is no problem. I'd of course like to do it. Thanks.

From: [REDACTED]

Sent: Tuesday, February 23, 2010 12:22 PM

To: Bharara, Preet (USANYS)

Subject: National Association of Former United States Attorneys (NAFUSA)

I am the president of NAFUSA, a national non-partisan organization of former US Attorneys. We have nearly 300 members from administrations as far back as President Kennedy. You can learn more about our organization at nafusa.org.

Each year we hold a national conference. This year our conference will be held in New York City on October 7-10, 2010 at the Marriott Marquis. We expect more than 200 members to attend. It has been our custom to ask the US Attorney from the host district to welcome us on the first morning of our CLE program. We would, therefore, cordially invite you to come to the Marriott Marquis at 8:40 am on Friday, October 8, 2010 to welcome our members to your district. The time, of course, can be flexible. We have also invited the mayor and Rudy Giuliani (a life member of NAFUSA) and Governor Christie, also a member of NAFUSA, will be welcoming us on the same morning.

You are welcome at any of the events of our conference, which begins with a cocktail reception on Thursday evening and concludes with a banquet on Saturday evening, at which we are hopeful that the Attorney General will be our keynote speaker. At our CLE sessions on Friday morning, we will have a panel on the appropriate forum in which to prosecute terrorism cases. [REDACTED] on the NYTimes has agreed to moderate the panel, and panel members will include [REDACTED] of the WD of Washington and [REDACTED] of Yale. Other CLE speakers will include [REDACTED] of Fordham speaking on prosecutive ethics and [REDACTED]

[REDACTED] of the NYTimes on the Supreme Court. [REDACTED] has agreed to help us put together a panel on the Bernie Madoff matter. It should be an excellent conference. On Friday afternoon we are planning a boat cruise on New York Harbor. It would be a good opportunity for you to see your future after life at the Justice Department.

I hope your schedule will permit you to join us to welcome your future colleagues to New York. If you have any questions, please do not hesitate to call [REDACTED] me or e-mail.

cc [REDACTED]

(B)(5)

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NAPABA Northeast Regional Conference and Gala Dinner 2010

Organization: Asian and Pacific American Lawyers Association of New Jersey (APALA)
National Asian and Pacific American Bar Association (NAPABA)

Event: Northeast Regional Conference
Theme: *"Stand Up And Be Counted"*

Date: June 12, 2010

Time: 6:00 p.m.

Location: Heldrich Hotel
New Brunswick, New Jersey

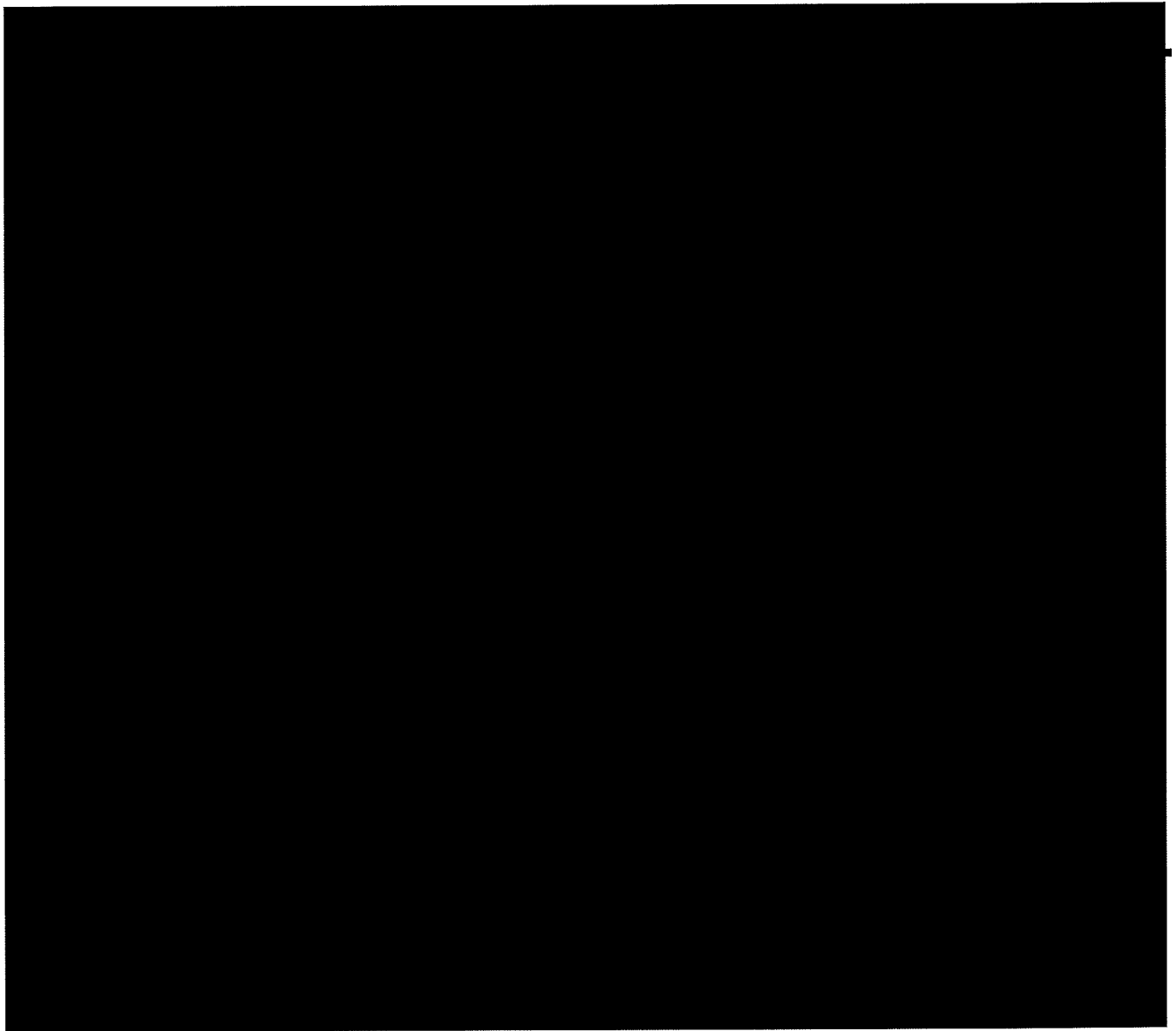
USA Role: Access to Justice Award

Speech Subject: _____

Audience: 200-300 APA lawyers in northeast region

Contact:

(B)(6)



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Speech Subject: _____

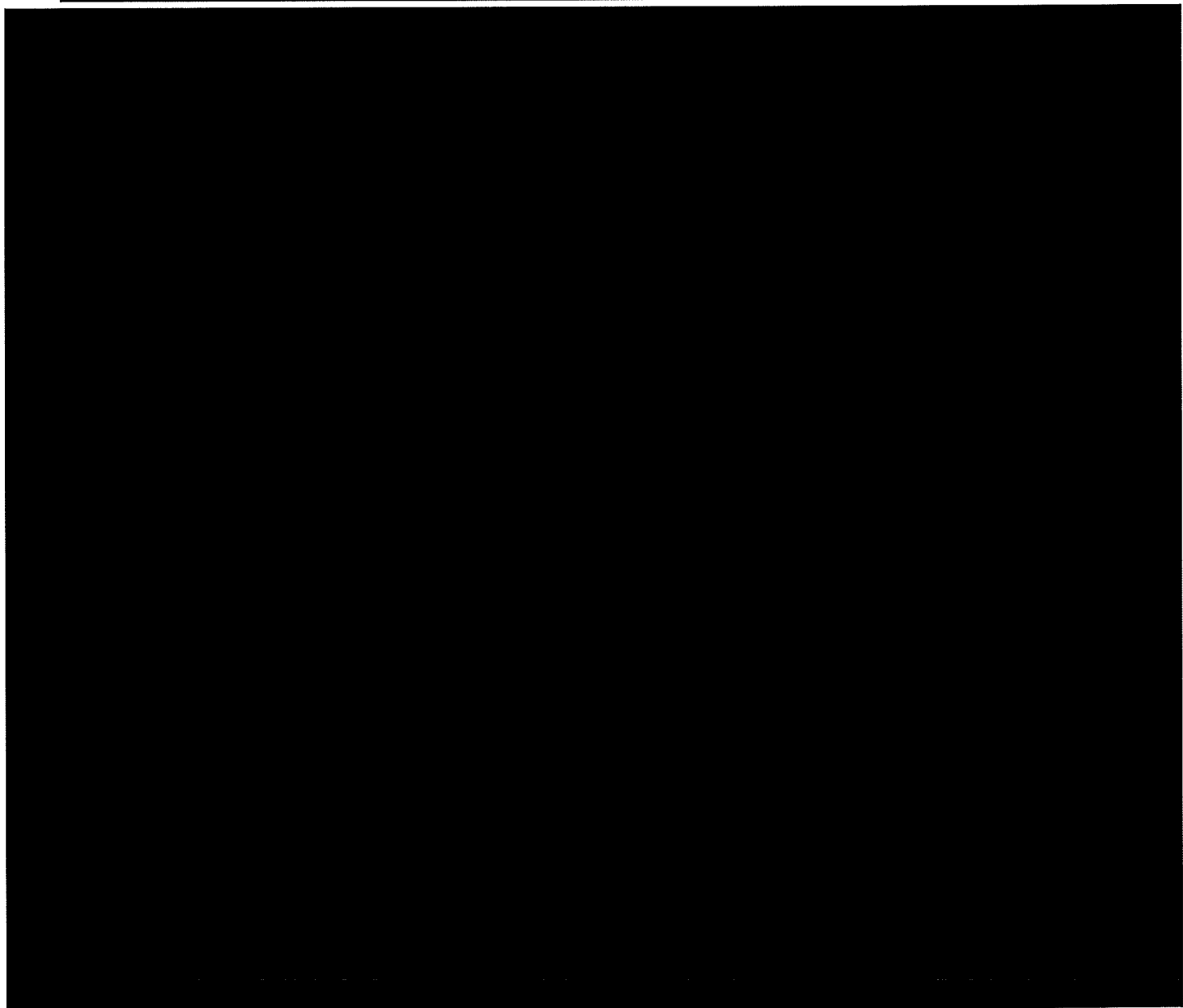
Audience: 200-300 APA lawyers in northeast region

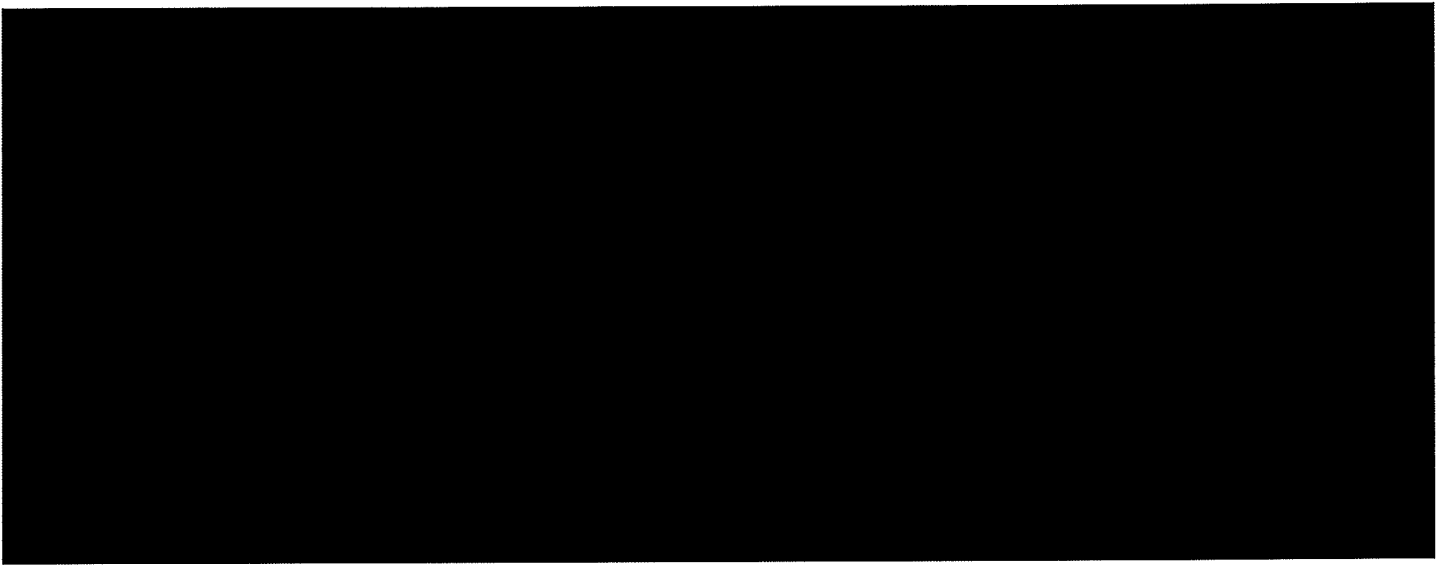
Contact:



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Subject: NAPABA Northeast Regional Conference/Gala Dinner -- June 12, 2010

(B)(6)
(B)(7)(c)

Please review the below and advise if you need any further information for approval.

Best,

(B)(6)
(B)(7)(c)

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Audience: 200-300 APA lawyers in northeast region

Contact:

(B)(6)

Preetinder S. Bharara
United States Attorney
Southern District of New York
1 St. Andrews Plaza
New York, NY 10007
Monday, June 25, 2012

(B)(5)

(B)(6)

(B)(7)(c)

Dear U.S. Attorney Bharara,

The Council of Urban Professionals (CUP) cordially invites you to offer opening remarks at our **3rd Annual Lawyers Dinner**. The event will take place on Thursday, October 25, 2012 at Eventi Hotel in New York City.

Founded in 2007, CUP is a 21st century leadership development nonprofit organization whose mission is to *connect, empower* and *mobilize* the next generation of diverse business and civic leaders. With over 1,100 individual members, a national network of 20,000 partners and 60 corporate members, CUP provides professional development, access to powerful decision makers and institutions, and civic engagement opportunities for emerging leaders. CUP's constituents span industry sectors across New York, California, and Washington, DC.

Each year CUP's annual Lawyers Forum convenes over 150 senior level professionals of color and women partners from law firms, as well as general counsels from New York-based investment firms and corporations, for a dynamic evening of networking, high-level discussions, and business generation. Major themes of the evening have included key strategies and approaches to building a division and leading a team, revenue generation, the importance of cultivating and maintaining a network, and the effect of the recession on diversity and inclusion. Last year, we were honored to have **Manhattan District Attorney Cyrus Vance, Jr.** provide opening remarks. In addition, we were thrilled to have **John Page**, Corporate Vice President, General Counsel for Golden State Foods and President-elect of the National Bar Association; and **Louise M. Parent**, Executive Vice President and General Counsel for American Express, serve as our keynote speakers.

We would be truly honored if you would offer 5-7 minutes of opening remarks on your inspiring leadership path to serving as U.S. Attorney for the Southern District of New York. We would also love to highlight your unique and diverse perspective on balancing a high stakes career in the public sector.

Past distinguished speakers and honorees at our events include: **Ken Chenault**, Chairman & CEO of American Express; **Earvin "Magic" Johnson Jr.**, Chairman & CEO of Johnson Development Corporation; **Jonathan Tisch**, Chairman & CEO of Loews Hotels; **Former U.S. Senator Hillary Rodham Clinton**; **Mayor Michael Bloomberg**; **Valerie B. Jarrett**, Senior Advisor

to the President; **Russell Simmons**, President & CEO, Rush Communications, Inc.; **Theodore V. Wells, Jr.** Partner, Paul, Weiss, Rifkind, Wharton & Garrison LLP; and **MA Governor Deval Patrick**.

We hope that you will accept our invitation to make opening remarks on the evening of October 25th. We will follow up with your office soon and in the meantime please contact us with any questions at [REDACTED] (B)(6)

Sincerely yours,

(B)(6)

Chair

(B)(6)

Executive Director, Council of Urban Professionals



Council of Urban
Professionals

55 Exchange Place, Suite 401 | NY, NY 10005

| m. 917.684.7060 | f. 646.619.8699 |

www.nycup.org

(B)(6)

Preetinder S. Bharara
United States Attorney
Southern District of New York
1 St. Andrews Plaza
New York, NY 10007
Monday, June 25, 2012

(B)(5)

(B)(6)

(B)(7)(c)

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Sincerely yours,

(B)(6)

(B)(6)

Chair

(B)(6)

Executive Director, Council of Urban Professionals



Council of Urban
Professionals

55 Exchange Place, Suite 401 | NY, NY 10005

m. 917.684.7060 | f. 646.619.8699 | [REDACTED]

www.nycup.org

(B)(6)

[REDACTED]

On Wed, Jan 25, 2012 at 1:10 PM, Bharara, Preet (USANYS) <Preet.Bharara@usdoj.gov> wrote:

Anant, thanks for the invitation. I am cc'ing my chief of staff who will follow up with you for details. Many thanks.

Preet

From: [REDACTED]
Sent: Wednesday, January 25, 2012 01:03 PM
To: Bharara, Preet (USANYS)
Subject: NASALSA Keynote Speaker

Preet,

I'm writing on behalf of the North American South Asian Law Students Association to see if you would be interested in being the Keynote Speaker for the 14th Annual NASALSA Conference.

Every year NASALSA hosts a conference attended by around 200 law students from around the country. This year the conference will be at NYU Law School on February 17-18. We typically have an evening banquet on the second night (Feb. 18) which features remarks from a prominent member of our community. This year, we were hoping that you would be interested in doing so. You're one of the most recognized and successful attorneys in our community and highly regarded. I know that you have a very busy schedule but it is our belief that you would be best suited for the address.

If you're interested, please let me know and we can discuss details further.

Best,

[REDACTED]

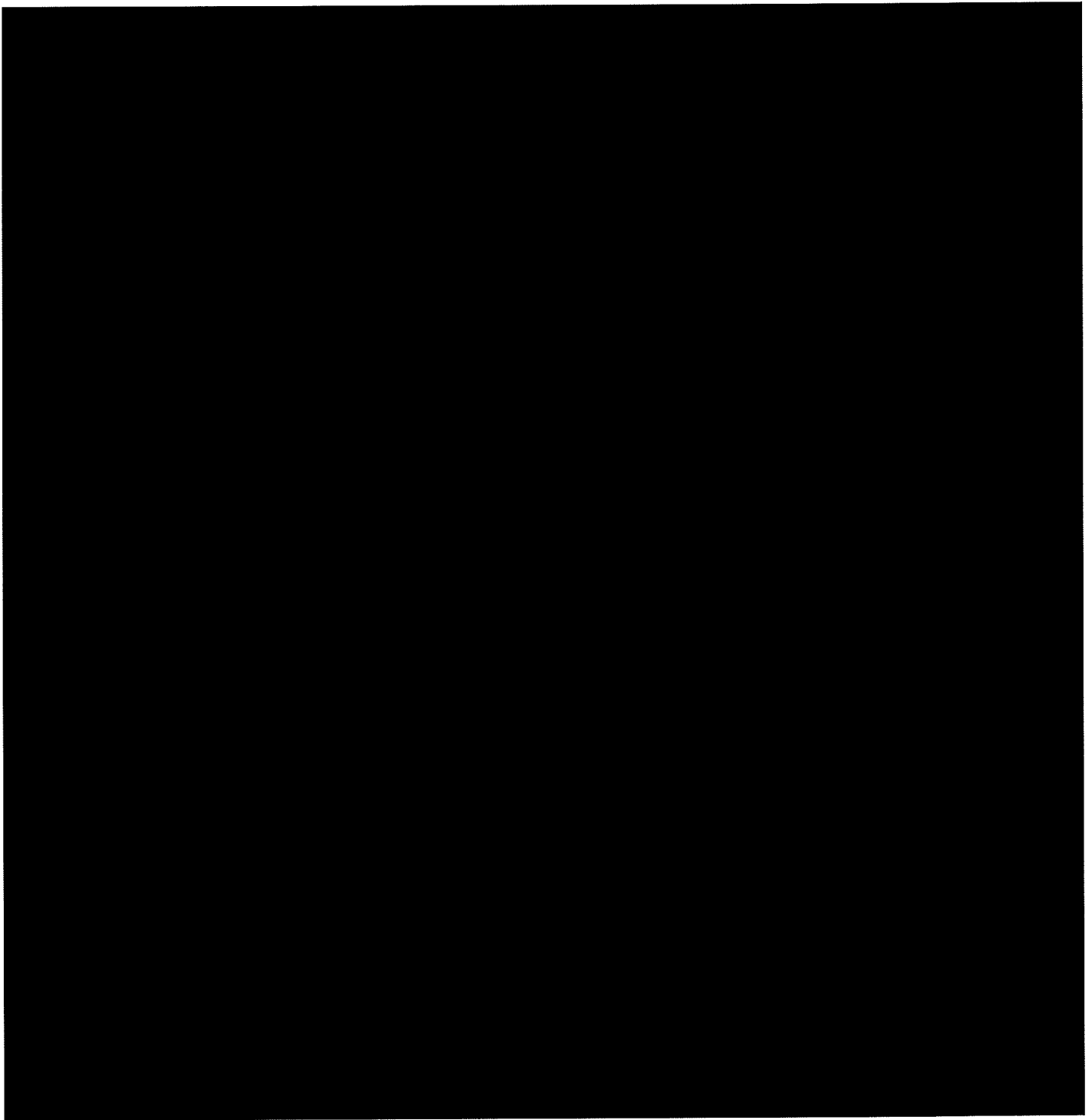
Harvard Law School | Class of 2012

NASALSA | [REDACTED]

(B)(5)

(B)(6)

(B)(7)(c)



From: [REDACTED] (B)(6)

Sent: Wednesday, November 20, 2013 5:04 PM

(B)(6) **To:** [REDACTED]

(B)(7)(c) **Cc:** [REDACTED] (B)(6)

Subject: Preet Bharara Recipient of Global Indian Achievement Award_Powered by Hindustantimes.com_Dec 15th New York City

Importance: High

Dear Preet Bharara,

I am delighted to write and congratulate you on your stimulating journey that is marked with glorious achievements.

As a celebrated Indian residing overseas your life and your success, epitomizes the globalised character of our world. You have risen beyond narrow identities and have taken to the global stage, without losing India.

Today, it is an honour for me to inform that you have been chosen as a Recipient of Global Indian Achievement Award for Excellence in Public Service

The Global Indian Achievement Awards is a unique platform which will celebrate the phenomenal success of the Indian community in the United States. Starting in 2013, as part of the "India Unlimited" initiative collaborated by Etihad Airways and Hindustantimes.com it will be a yearly roll call of Global Indian Achievers in Americas. The project will also initiate a 'Global Education Scholarship Fund' for the ones who aspire to reach the sky but have limited means to fund their educational needs. Every year in collaboration with various International Universities need and merit based scholarships will be provided to ten young aspirants.

Etihad Airways; ranked as one of the best airlines in the world is celebrating 8 years of flying from John F Kennedy to the world and through this initiative the airline would like to acknowledge and honour the community which has largely contributed to the airline's success in Americas.

Hindustantimes.com part of India's biggest media group 'HT Media' is a comprehensive news website, with 10 million unique visitors and over 100 million pages viewed per month. As a collaborative partner *Hindustantimes.com* will narrate the Indian success stories across the world to inspire the next generation of achievers through their special web feature called "*Inspiring India and the world*".

The Global Indian Achievement Awards has been designed, developed and produced by Evolve, a company which has lineage of creating successful recognition platforms like "The Light of India Awards" and the "Global Indian Women's Awards". The past recipients include the likes of Arun Sarin Former CEO Vodafone, Vinod Dham Father of Pentium Chip, Vinod Khosla Venture Capitalist & Founder Khosla Ventures, Swati Dandekar Former Iowa Senator, Dr. Shiladitya Sengupta Chair Center for Regenerative Therapeutics Harvard Medical School, Salman Rushdie, Mira Nair & Jhumpa Lahiri

The recipients are chosen through a process of voting by the panel which includes representation from Hindustantimes.com editorial and audited by third party validation agency.

The Global Indian Achievement Award Recipients will be honoured on Sunday, Dec 15th at Taj Pierre, New York in the presence of imminent personalities from across the world.

Preet, it would indeed be an honour for us, if you could grace the award ceremony with your presence.

Upon your confirmation of availability to attend the event, we will be happy to make arrangements for your travel and stay to New York City with no cost to you.

Warm Regards,

GLOBAL INDIAN
ACHIEVEMENT AWARDS
AMERICAN EDITION

DECEMBER 15TH 2013 | TAJ PIERRE - NEW YORK

(B)(6)

(B)(6)

From: [REDACTED]
Sent: Thursday, October 03, 2013 6:23 PM
To: [REDACTED] (B)(6)
Cc: [REDACTED] (B)(7)(c)
Subject: Re: Mr. Preet Bharara - 2013 Most Influential APIA New Yorker

Apologies, the wrong attachments were sent. Please disregard the previous and see attached.

Warm regards,

[REDACTED] (B)(6)

On Thu, Oct 3, 2013 at 6:12 PM, [REDACTED] wrote: (B)(6)
(B)(6)

Dear [REDACTED]

We are writing to confirm Mr. Preet Bharara's nomination as one of NAAAP New York's 2013 Most Influential APIA New Yorkers. He has been nominated by our membership base, and selected by the Honoree Committee. We are writing to congratulate him and invite him to a celebration recognizing him as the first inductee into the inaugural award of NAAAP-NY's Most Influential APIA New Yorker in the Public Service category.

This event will be a milestone in unifying Asian Americans in New York City, as no other organization is dedicated to unifying and improving the image of the APIA community, and celebrating the successes of both individual honorees and our collective community.

The proceeds from the evening will benefit the NAAAP-NY Scholarship Fund, to aid APIA scholars pursuing their undergraduate degrees. Three recipients of the scholarship will be selected in early 2014.

If accepted, Mr. Bharara would be inducted into one of five categories at our Moon Festival Honoree Gala at Gotham Hall on October 25th, 2013. This event would provide him the opportunity to further share his inspirational story with the Asian American community, and assist in our fundraising efforts to aid APIA scholars.

Please review the two attached documents for more information about the event, nomination, and our organization. We would be more than happy to provide any additional

information needed, and would appreciate a response regarding attendance by Monday, October 7th.

Our congratulations to Mr. Bharara!

With appreciation,

[REDACTED]

(B)(6)

--
[REDACTED]

(B)(6)

[REDACTED]

NAAAP-NY [REDACTED]

<http://naaapny.org>

--

[REDACTED]

(B)(6)

[REDACTED]

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NAAAP-NY | [REDACTED]

<http://naaapny.org>

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[REDACTED]

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NAAAP-NY | [REDACTED]

<http://naaapny.org>

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NAAAP-NY [REDACTED]

<http://naaapny.org>

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[REDACTED]

(B)(6)

NAAAP-NY [REDACTED]

<http://naaapny.org>

[REDACTED]

From: [REDACTED] (B)(6)
Sent: Friday, October 10, 2014 11:05 AM
To: [REDACTED] (B)(6) (B)(7)(c)
Cc: [REDACTED] (B)(6)
Subject: Re: NASALSA

Hello [REDACTED] (B)(6) (B)(7)(c)

15 minutes with a Q&A is perfect. I just got a response from Orrick about the lobbying issue and have attached the event vetting form for you!

Because of Preet's popularity we are using a different venue for Friday evening instead of the Orrick offices. We will now be hosting the event in the Stanford Law School lounge with the keynote taking place in one of their large classrooms. The address for this is 559 Nathan Abbott Way, Stanford, CA 94305. Orrick will still be covering our costs along with other sponsors, so I am not sure if we need to be as concerned with their lobbying activities since they are no longer our sole primary sponsor for this event.

The expected attendance is 150 people (capped at 200) and it will be mostly law students plus a few (10-15) attorneys in the mix to give the students some networking opportunities before and after the keynote.

Please let me know if you have any other questions or if there are any issues with the event vetting form. Once the form is approved, we will submit hotel registration information to you as we are working on keynote accommodations at the moment.

Best,
[REDACTED] (B)(6)

On Fri, Oct 10, 2014 at 7:47 AM [REDACTED] wrote: (B)(6)
(B)(7)(c)

Thanks for this information.

Can Preet speak for 15 minutes and then take questions from the audience? What is the expected attendance? Will it be mostly law students?

I do need you to complete the attached event vetting document. The U.S. Attorney's attendance and participation at all events must first be approved by DOJ.

We will take you up on your offer to reimburse our office for Preet's travel costs.

Thanks,

[REDACTED] (B)(6) (B)(7)(c)

From: [REDACTED] (B)(6)
Sent: Monday, October 06, 2014 2:16 PM
To: [REDACTED] (USANYS) (B)(6)
Cc: Anant Pradhan [REDACTED] (B)(7)(c)
Subject: Re: NASALSA (B)(6)

Hello [REDACTED] (B)(6) (B)(7)(c)

Thank you for confirming with us, we are so excited to have Preet join us. I am working on getting the form details hashed out with Orrick - our Friday evening venue sponsor. We should get this back to you shortly.

We are pretty flexible on how long he can speak for, anywhere from 15 minutes-1 hour depending on how much he'd like to say. This is a law student focused event and we have a lot of people interested in learning from him. I am happy to provide any feedback on the speech if needed.

As for the fundraising questions on the form, we will not be doing any fundraising at the event itself. However, we are a nonprofit and are doing fundraising to be able to host the conference and to provide scholarships for our students. We are in the early stages of fundraising at this time, but are regularly updating our website - <http://nasalsa.org/our-sponsor-s/> with our sponsors. I was a bit confused as to whether you needed more information about our fundraising at the NASALSA conference or leading up to it. Please let me know if there is anything you need me to clarify.

Best,

[REDACTED] (B)(6)

On Mon, Oct 6, 2014 at 7:28 AM,

[REDACTED]

wrote:

(B)(6) (B)(7)(c)

U.S. Attorney Bharara would like to commit to the **Friday** keynote. Will there be fundraising? Can you please fill out the attached event vetting document for our ethics review process?

How long is he expected to speak?

Thanks,

[REDACTED]

(B)(6)

(B)(7)(c)

From:

[REDACTED]

(B)(6)

Sent: Thursday, October 02, 2014 11:48 AM

T

[REDACTED]

(B)(6)

(B)(7)(c)

Cc:

[REDACTED]

(B)(6)

Subject: Re: NASALSA

Hi

[REDACTED]

(B)(6)

(B)(7)(c)

Monday is not a problem! Thanks again.

Best,

[REDACTED]

(B)(6)

Sent from my iPhone

On Oct 2, 2014, at 8:08 AM,

[REDACTED]

(B)(6)

wrote:

(B)(7)(c)

Thank you so much. Do you mind if we get back to you with a final answer on Monday? We need to sort some things out first.

[REDACTED]

(B)(6)

(B)(7)(c)

From: [REDACTED] (B)(6)
Sent: Wednesday, October 01, 2014 10:53 PM
To: [REDACTED] (USANYS) (B)(6) (B)(7)(c)
Cc: [REDACTED] (B)(6)
Subject: Re: FW: NASALSA

Hello [REDACTED] (B)(6) (B)(7)(c)

Thank you so much for the response. Below is our tentative itinerary (the venues are finalized) and both Friday and Saturday nights are open. We would love to have Preet as a keynote whichever evening is most convenient for him.

Friday, February 20th, 2015:

5-9:30pm Opening Ceremony at Orrick, Herrington, & Sutcliffe Offices in Menlo Park

Keynote anticipated to begin at 7:30pm

Saturday, February 21st, 2015:

6-9:30pm Scholarship Gala at Paul Brest Hall in Stanford University

Keynote anticipated to begin at 7:30pm

Theme: This year our theme for the conference is **Connecting the Circle: Incorporating a New South Asian Generation into the Legal Community**. The reason for this theme is that NASALSA is opening its doors to the undergraduate community for the first time to get more South Asian students interested in law school and aware of the opportunities available before they begin their legal education. I would love to discuss this with Preet to help him develop a speech for this topic if needed if he can speak at our event.

Reimbursement: We are happy to reimburse Preet for any transportation and lodging expenses that he will incur. We will provide more information about hotels and transportation once we have a confirmation from him.

We are so grateful for yours and Preet's help and support. If you need any further information, please do not hesitate to contact me via e-mail at [REDACTED] or by phone at [REDACTED]. You can also read more about us at www.nasalsa.org.

(B)(6)

(B)(6)

Best,

[REDACTED]

(B)(6)

On Wed, Oct 1, 2014 at 1:52 PM, [REDACTED] (B)(6) wrote:

Hi [REDACTED] (B)(6) (B)(7)(c)
(B)(6)

I'm cc'ing [REDACTED] who is the President of NASALSA. She'll be able to help with the scheduling and providing further details.

Thanks,

[REDACTED] (B)(6)

On Wed, Oct 1, 2014 at 1:44 PM, [REDACTED] wrote:

(B)(6)
(B)(7)(c)

Sorry for the delay in getting back to you. Preet is quite likely to participate, but needs to sort some details out. Would the keynote be Friday night? That would be preferable.

Please let me know,

[REDACTED] (B)(6)
(B)(7)(c)

From: [REDACTED] (B)(6)
Sent: Wednesday, September 24, 2014 2:57 PM

To: [REDACTED] (USANYS) (B)(6)
Subject: Re: FW: NASALSA (B)(7)(c)

Hi [REDACTED] (B)(6) (B)(7)(c)

I think the group is starting to consider other speakers and just wanted to reach out to you once more to see if Preet is interested. Let me know!

Thanks,

[REDACTED] (B)(6)

On Fri, Sep 12, 2014 at 1:11 PM, [REDACTED]

wrote:

(B)(6)
(B)(7)(c)

Thanks, [REDACTED] don't have an answer for you yet unfortunately.

(B)(6)

From: [REDACTED]

(B)(6)

Sent: Tuesday, September 09, 2014 1:19 PM

To: [REDACTED] (USANYS)

(B)(7)(c)

Subject: Re: FW: NASALSA

Hi [REDACTED]

(B)(6) (B)(7)(c)

I just wanted to follow-up on my previous e-mail. Let me know if you'd like any more information!

Thanks,

[REDACTED] (B)(6)

On Thu, Aug 21, 2014 at 3:40 PM, [REDACTED]

wrote:

(B)(6)

Hi [REDACTED]

(B)(6)

(B)(7)(c)

[REDACTED] (B)(6)

Anyway, as my previous e-mail suggested Preet has spoken at this conference twice before -- once in 2011 at NYU and in 2012 at Columbia University. It's a program for South Asian Law Students from across the country. The organization's website is: <http://nasalsa.org/>. This year the conference is at Stanford Law the weekend of Feb. 20-21, 2015. If Preet is interested in speaking again this year, I'll link you up with the conference organizer -- my sense is that they would bend over backwards to have him speak. If you need any more information from, feel free to ask!

As an aside, Preet was a bit funnier but I can't let it go to his head!

Thanks,

[REDACTED] (B)(6)

On Thu, Aug 21, 2014 at 3:05 PM [REDACTED]

> wrote:

(B)(6)

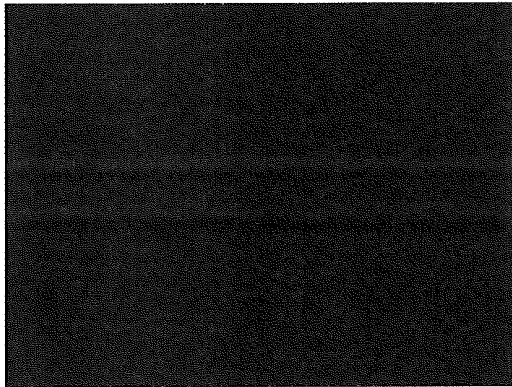
(B)(7)(c)

[REDACTED] (B)(6)

I am reaching out to you on behalf of the U.S. Attorney. Would you mind sending me the specifics about the NASALSA conference?

By the way, I thought Preet was funnier than Mindy Kaling!

Kind regards,



(B)(6)

(B)(7)(c)

From: [REDACTED]
Sent: Wednesday, August 20, 2014 03:21 PM
To: Bharara, Preet (USANYS)
Subject: NASALSA

(B)(6)

Hi Preet:

I hope all is well. I saw the video of your HLS commencement speech a few weeks ago and have to say that it was quite good -- not quite Mindy Kaling, but certainly up there.

I wanted to reach out to you to see if you had any interest in being the keynote speaker at the NASALSA conference this year. I realize you've been a keynote speaker twice now for the organization but people just can't get enough of you. *See, e.g.*, NYTimes Article dated Aug. 18, 2014. NASALSA is hosting the conference at Stanford Law School on February 20-21, 2015 and asked me to reach out to you to see if you would be interested in speaking. Let me know and I can put you in touch with the individuals running the conference this year.

[REDACTED] (B)(6)

Sent: Monday, October 20, 2014 11:01 AM

[REDACTED] (B)(6)

Subject: FW: Event with Preet

Attachments: SABANJ Annual Dinner - Sponsorship Packet.pdf

Promotional materials

(B)(6)

(B)(7)(c)

From: [REDACTED]

Sent: Monday, October 20, 2014 10:54 AM

To: [REDACTED]

Subject: Re: Event with Preet

Hi [REDACTED] (B)(6) (B)(7)(c)

No problem - attached is our sponsorship packet that was sent to various law firms and companies. Let me know if you need anything else.

Thanks very much,

[REDACTED] (B)(6)

On Mon, Oct 20, 2014 at 10:47 AM, [REDACTED] wrote: (B)(6)

(B)(7)(c)

Would you mind sending me any promotional materials that were distributed for this event? Thank you!

[REDACTED] (B)(6) (B)(7)(c)

From: [REDACTED] (B)(6)

Sent: Tuesday, October 14, 2014 10:31 AM

To: [REDACTED] (USANYYS) (B)(6)

Subject: Re: Event with Preet (B)(7)(c)

Hi [REDACTED] (B)(6) (B)(7)(c)

If Preet does not mind having a Q&A option, we would love to have that as an option - we can shoot for around 10 minutes. Also, our organization is open to hearing anything Preet would like to address, such as his

childhood in NJ, advances South Asian attorneys have made in the legal profession, his prosecutorial experience, social justice, advise to the newer generation of South Asian attorneys, etc.

We would also love for Preet to bring a guest if he wishes.

Please let me know if you need any additional information. The organization and members are looking forward to meeting and hearing Preet!

[REDACTED]
(B)(6)

On Fri, Oct 10, 2014 at 5:18 PM, [REDACTED] wrote: (B)(6)

Hi [REDACTED]
(B)(6) (B)(7)(c)

I will be introducing Preet and he can thank the organization (South Asian Bar Association of New Jersey). I will let you know on Monday about the Q&A option and guidance on his remarks. Have a great weekend as well.

[REDACTED] (B)(6)

On Fri, Oct 10, 2014 at 5:03 PM, [REDACTED] wrote: (B)(6) (B)(7)(c)

And apologies if you have already told me, but who is introducing Preet? Who should he thank in his remarks? Do you have any guidance on what he should discuss? Hope you have a great weekend.

[REDACTED] (B)(6)
(B)(7)(c)

From: [REDACTED] (USANYS) (B)(6) (B)(7)(c)
Sent: Friday, October 10, 2014 5:02 PM
To: 'k [REDACTED]' (B)(6)
Subject: RE: Event with Preet

Is some Q&A an option or would you like to keep it strictly remarks? Thanks!

From: [REDACTED] (USANYS) (B)(6) (B)(7)(c)
Sent: Monday, October 06, 2014 10:53 AM
To: ' [REDACTED]' (B)(6)
Subject: RE: Event with Preet

No special requests, but thank you. We might have a Deputy US Marshal provide security, in which case we would not need the car service any longer. I will let you know soon. Thank you!

From: [REDACTED] (B)(6)
Sent: Monday, October 06, 2014 10:47 AM
To: [REDACTED] (USANYS)
Subject: Re: Event with Preet (B)(6) (B)(7)(c)

Hi [REDACTED] (B)(6) (B)(7)(c)

Hope all is well. Thanks for the article, I will draft it into my introduction of Preet. That is still the flow of show and we allocated thirty minutes for Preet to speak because we were not sure how long he would prefer (there is no scheduled Q&A, just his remarks). Preet is free to speak for the full thirty minutes or less, whichever he prefers.

Also, does Preet have any special requests such as food, additional guests, etc? I know he will need car service after the event and we have already arranged for that, but please let me know if he needs anything else.

Thanks very much,

[REDACTED] (B)(6)

On Mon, Oct 6, 2014 at 10:39 AM, [REDACTED] wrote: (B)(6) (B)(7)(c)

This recent NY Post article would also be helpful for his introduction: <http://nypost.com/2014/10/02/new-york-needs-preet-bharara-to-stay-as-us-attorney-and-keep-fighting-corruption/>

This is the most recent **flow of show** I have:

Cocktail Reception: 6:30 p.m. to 7:30 p.m.

Set Sail: 7:00 p.m.

Dinner: 7:30 p.m.

Welcome: 7:45 p.m.

Keynote Speaker: 8:00 p.m.

Awards: 8:30 p.m.

Dessert and Networking: 9:00 p.m.

Dock: 9:30 p.m. to 10 p.m.

Is this still accurate? Is Preet expected to give thirty minutes of remarks or is there Q&A as well?

Thanks,

[REDACTED] (B)(6) (B)(7)(c)

From: [REDACTED] (B)(6)
Sent: Monday, September 08, 2014 2:45 PM

To: [REDACTED] (USANYs) (B)(6) (B)(7)(c)
Subject: Re: Event with Preet

Perfect! Thanks!

On Mon, Sep 8, 2014 at 2:25 PM, [REDACTED] wrote:

(B)(6) (B)(7)(c)

You might want to watch his speech at Harvard Law School's Class Day Ceremony:
<https://www.youtube.com/watch?v=5MsH-ZujqxY>

Thanks!

From: [REDACTED] (B)(6)

Sent: Monday, September 08, 2014 2:15 PM

To: [REDACTED] (B)(6) (B)(7)(c)

Subject: Re: Event with Preet

Hi [REDACTED] (B)(6) (B)(7)(c)

I am working on the introduction for Preet and I reviewed the NY Times article you forwarded to [REDACTED] I (B)(6) know he was also in Time Magazine a few times and I reviewed those too in preparing. Is there anything else I should review?

Thanks very much,

[REDACTED] (B)(6)

On Wed, Sep 3, 2014 at 4:08 PM, [REDACTED] wrote: (B)(6)

Hi [REDACTED] (B)(6) (B)(7)(c)

Great being introduced to you via email. I will certainly provide the exact location shortly and, in the meantime, if there is anything else you need, please feel free to contact me. I look forward to working with you and our organization is very excited about having Preet as the keynote speaker. Speak soon.

[REDACTED] (B)(6)

On Mon, Aug 25, 2014 at 11:40 AM, [REDACTED] > wrote:

(B)(6)

Hi [REDACTED]

(B)(6)

(B)(7)(c)

Sorry for the delayed response. I was in Yellowstone for the last 8 days and just returned today. I have attached our sponsorship packet, which includes the information you requested (except for the exact address).

(B)(6)

I would like to introduce you to [REDACTED]. She is my Co-Chair for the Annual Dinner and will be coordinating and communicating with you going forward. I have accepted a position in D.C. and will be stepping down from my roles with SABA-NJ effective August 30. [REDACTED] is up-to-date on everything you and I have discussed (including Preet's car service request). Please communicate with [REDACTED] going forward. Thank you. (B)(6) (B)(6)

(B)(6)

(B)(6) (B)(7)(c)

[REDACTED] Please see [REDACTED] e-mail below re exact location and bio. Could you provide her with the exact address? The attached packet has the rest of the information [REDACTED] is requesting.

(B)(6)

(B)(7)(c)

Thank you both!

[REDACTED] (B)(6)

On Wed, Aug 20, 2014 at 2:39 PM, [REDACTED] wrote: (B)(6)

Wonderful! Would you mind sending me the exact location and the tentative agenda for the evening? Apologies if you (B)(7)(c) already sent me this information.

By the way, the NYT ran a profile of Preet on Monday that might be helpful for introducing him at the event:
<http://www.nytimes.com/2014/08/19/nyregion/in-five-years-in-office-us-prosecutor-touches-new-yorks-biggest-story-lines.html>

Thanks!

[REDACTED] (B)(6) (B)(7)(c)

From: [REDACTED] (B)(6)
Sent: Tuesday, August 05, 2014 2:50 PM

To: [REDACTED] (B)(6) (B)(7)(c)
Subject: Re: Event with Preet

Hi [REDACTED] (B)(6) (B)(7)(c)

The planning is going well. We recently had Day Pitney come in as our largest sponsor, and I've secured Honeywell and Proskauer Rose as two more. We will officially begin securing sponsorships next week. The advertising will also start next week, although we've already informally alerted other NJ organizations about the event.

[REDACTED] (B)(6)

On Tue, Aug 5, 2014 at 1:56 PM, [REDACTED] wrote: (B)(6) (B)(7)(c)

[REDACTED] (B)(6)

I just wanted to check in. How is the planning and advertising going?

Many thanks,

[REDACTED]

(B)(6)

(B)(7)(c)

From: [REDACTED] (USANYS) (B)(6) (B)(7)(c)
Sent: Tuesday, July 22, 2014 11:04 AM
To: [REDACTED] (B)(6)
Subject: RE: Event with Preet

Our ethics coordinator reviewed the proposed letter and believes it is fine. Thanks so much!

[REDACTED]

(B)(6) (B)(7)(c)

From: [REDACTED] (B)(6)
Sent: Tuesday, July 22, 2014 10:39 AM
To: [REDACTED] (USANYS) (B)(6) (B)(7)(c)
Subject: Re: Event with Preet

Hi [REDACTED] (B)(6) (B)(7)(c)

As of now, Mr. Bharara will not be receiving an award. He will be receiving a Thank You plaque for speaking at the event.

As to the "appearance" aspect, are we allowed to mention that he will be the Keynote Speaker in the cover letter to our sponsorship materials discussing the details of the event? I have attached a copy of the cover letter here for your review.

 (B)(6)

On Tue, Jul 22, 2014 at 10:27 AM,  wrote: (B)(6) (B)(7)(c)

Ok, thanks. According to our ethics guidelines, SABA cannot use Preet's appearance as a fundraising draw prior to the event. One more question—is Preet receiving an award or just giving a speech? I need to pass the answer along to our ethics coordinator.

Many thanks,

 (B)(6) (B)(7)(c)

From:  (B)(6)
Sent: Tuesday, July 22, 2014 10:15 AM
To:  (USANYS)
Subject: Re: Event with Preet (B)(6) (B)(7)(c)

Hi  (B)(6) (B)(7)(c)

There won't be fundraising at the Annual Dinner. We will be raising money through sponsorships from various law firms and corporations, but that will be done in the next few months (well before the dinner) and the funds

will go to support SABA-NJ's activities. I know Mr. Bharara has been to SABANY's Gala in the past - it will be the same as that.



(B)(6)

On Tue, Jul 22, 2014 at 9:53 AM,

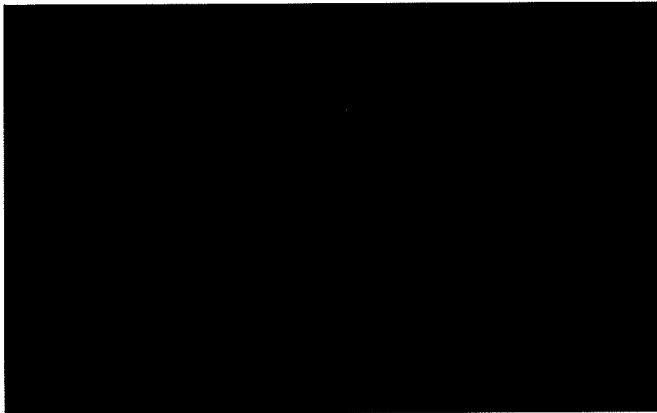


wrote:

(B)(6)

(B)(7)(c)

Quick question--- Will there be fundraising at the dinner? Thank you!



(B)(6)

(B)(7)(c)

Sent: Thursday, October 02, 2014 6:25 PM
Subject: News Clips - Thursday, October 2, 2014
Attachments: 2014-10-02.pdf

News Clips
Thursday, October 2, 2014

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Securities and Commodities Fraud

David Riley

Reuters

Former Foundry Networks executive found guilty of insider trading

By Nate Raymond

Thu Oct 2, 2014 11:50am EDT

Oct 2 (Reuters) - A former executive of Foundry Networks Inc was found guilty on Thursday of leaking inside information about the data-equipment maker that enabled a San Francisco hedge fund to earn millions of dollars. David Riley, Foundry's former chief information officer, was found guilty by a federal jury in Manhattan of two counts of securities fraud and one count of conspiracy, after a trial that lasted more than three weeks. A mistrial was declared on a fourth count on which jurors were deadlocked.

The verdict brought to 83 the number of people who have been convicted at trial or pleaded guilty since October 2009 amid a years-long campaign against insider trading by the office of Manhattan U.S. Attorney Preet Bharara.

It marked a rebound for Bharara's office, after its winning streak in insider-trading trials was broken in July with the acquittal of Rengan Rajaratnam, a younger brother of convicted Galleon Group hedge fund founder Raj Rajaratnam. Riley, 48, had been charged in 2013 along with Matthew Teeple, a former analyst from hedge fund Artis Capital Management. (Reporting by Nate Raymond in New York; Editing by Bernadette Baum)

Ex-Foundry Networks Official Guilty of Passing Tips

Bloomberg

By Patricia Hurtado

October 02, 2014

A former Foundry Networks Inc. executive was convicted of leaking tips about the company's \$3 billion acquisition by Brocade Communications Systems Inc. (BRCD:US), helping stock traders earn more than \$27 million.

A federal jury in Manhattan today ended up deadlocked on one securities fraud charge against David Riley, with the judge saying a mistrial would be declared on that count. Riley remains free on bail.

Riley was accused of revealing inside information to Matthew Teeple, then an analyst at Artis Capital Management LP in San Francisco, about the Brocade transaction in July 2008 and a shareholder vote delaying the deal in October 2008.

According to prosecutors, his tips helped Teeple and more than a dozen others to whom he passed the news earn at least \$27 million, prosecutors said.

Among the recipients of the leaks was Teeple's golf pro, prosecutors said.

Riley is one of at least 89 people arrested for insider trading in a seven-year crackdown by U.S. Attorney Preet Bharara in New York. He was charged with one count of conspiracy and three counts of securities fraud, which carries a maximum penalty 20 years in prison. Jurors began deliberating on Sept. 29.

The case is U.S. v. Riley, 13-cr-03396, U.S. District Court, Southern District of New York (Manhattan).

Ex-Foundry Exec Convicted In Stock-Tipping Case

Share us on: □ □ □ □ By Max Stendahl

Law360, New York (October 02, 2014, 11:55 AM ET) -- A New York federal jury on Thursday convicted former Foundry Networks Inc. executive David Riley of passing inside information to a hedge fund analyst, marking a bounce-back victory for the office of Manhattan U.S. Attorney Preet Bharara following a July trial loss.

The 12-member jury found Riley guilty of one count of conspiracy and two counts of securities fraud. It deadlocked on a third count of securities fraud tied to an October 2008 sale of Foundry shares. Prosecutors claimed he told analyst Matthew Teeple in July 2008 that Foundry was about to be acquired by Brocade Communications Systems Inc. Teeple then tipped others about the \$3 billion deal, leading to huge trading profits, the government alleged.

"We are enormously disappointed by the verdict," said Riley's attorney, John F. Kaley of Doar Rieck Kaley & Mack. "We are optimistic about our chances on appeal."

Trial in the case began Sept. 9. Riley's sentencing was scheduled for Feb. 6 by Judge Valerie E. Caproni.

Manhattan U.S. Attorney Preet Bharara said in a statement that the verdict proved Riley exploited his position and access to information at Foundry Networks.

"What Riley forged at Foundry was a pipeline of material, nonpublic information that enabled others to engage in illegal insider trading and reap a windfall of more than \$27 million. What Riley got out of the arrangement is a felony conviction and the prospect of losing his liberty," said Bharara, noting he became the 87th defendant convicted of insider trading after trial or by guilty plea in his federal district in five years.

Riley, Foundry's former chief information officer, was the first insider trading defendant to go to trial in Manhattan federal court following the July 8 acquittal of former hedge fund portfolio manager Rengan Rajaratnam. Prior to the Rajaratnam case, prosecutors working under Bharara had secured 81 convictions and guilty pleas without a single loss. The case against Riley was built on circumstantial evidence, including telephone records, trading records, emails and instant-message chats. Prosecutors said that on July 16, 2008, Teeple met with Riley and then called more than a dozen people, each of whom purchased Foundry stock. The trades generated hefty profits once the Brocade deal was publicly announced July 21.

Prosecutors said Riley also used his access to an internal Foundry database, nicknamed "Oracle," to give Teeple valuable inside information about the company's revenues.

Teeple pled guilty to a single conspiracy charge before the trial, but he did not testify. Jurors instead heard testimony from two men, John Johnson and Karl Motey, who admitted they were tipped by Teeple about the Brocade deal.

During the trial, the government repeatedly displayed an email in which Teeple referred to someone, allegedly Riley, as his "best guy from Foundry." At one point, prosecutors played a wiretapped phone call between Teeple and Motey in which the hedge fund analyst advocated using disposable phones, sometimes called "burner phones," to discuss sensitive information.

Riley denied wrongdoing, arguing that he had limited access to information about the deal and that Teeple likely got the tip from another Foundry employee. In an unusual twist, the defense called two witnesses who previously had worked with Riley at the CIA and testified that he had a reputation for keeping secrets.

The government is represented by Telemachus Kasulis and Sarah McCallum.

Riley is represented by John F. Kaley of Doar Rieck Kaley & Mack.

The case is U.S. v. Riley et al., case number 1:13-cr-00339, in the U.S. District Court for the Southern District of New York.

-- Additional reporting by Pete Brush. Editing by Richard McVay.

Hedge Fund Tipster Found Guilty Of Conspiracy, Securities Fraud

FIN Alternatives

Oct 2 2014 | 12:28pm ET

Former Foundry Networks executive David Riley was found guilty today of giving a hedge fund analyst insider information. A jury in New York found Riley guilty of conspiracy and securities fraud. The jury was deadlocked on a third count of securities fraud.

Prosecutors say that Riley—then chief information officer at Foundry Networks—told hedge fund Artis Capital Management's Matthew Teeple about Brocade Communications Systems' planned deal for Foundry in 2008. Teeple, who pled guilty and testified against Riley, then told 15 others.

Artis made more than \$27 million trading on the information.

Riley faces up to 20 years in prison when he is sentenced.

Today's verdict is the latest victory for in Manhattan U.S. Attorney Preet Bharara, who has aggressively gone after insider trading, specifically at hedge fund firms. He has won all but one case that was brought to trial.

Following the verdict, Bharara said: "As the jury unanimously found, David Riley exploited his position and access to information at Foundry Networks, a publicly traded technology company. What Riley forged at Foundry was a pipeline of material, nonpublic information that enabled others to engage in illegal insider trading and reap a windfall of more than \$27 million. What Riley got out of the arrangement is a felony conviction and the prospect of losing his liberty. He becomes the 87th defendant convicted of insider trading after trial or by guilty plea in this District in the last five years."

Public Corruption

Moreland Commission

NEW YORK DAILY NEWS

Mayor de Blasio, Gov. Cuomo among top pols roasted at Al Smith dinner

By Erin Durkin

Thursday, October 2, 2014, 12:07 AM

Billionaire Ken Langone saw Police Commissioner Bill Bratton on the dais at the annual Al Smith dinner, but charged the real top cop was nowhere to be found.

"I don't see the person in charge of the NYPD up here tonight - Al Sharpton," he cracked in the most pointed zinger at the annual dinner, which draws a host of city luminaries including Mayor de Blasio and Gov. Cuomo who subject themselves to a ribbing to raise cash for Catholic Charities.

Bratton, seated behind the Home Depot founder on the dais full of notables in white ties and tails, greeted the joke with a hearty laugh.

Sharpton, for his part, was a few blocks away throwing himself a swanky 60th birthday party - which Cuomo slipped out of the dinner to stop by before returning. De Blasio headed for Sharpton's bash after the event wrapped up.

Langone also protested that his much-criticized remarks comparing rhetoric on income inequality to Nazi Germany was taken out of context. "I was just saying the world should be wary of German populists - but enough about Bill de Blasio," he cracked.

De Blasio was roundly mocked for losing his grip on groundhog "Staten Island Chuck," a fumble that may have contributed to the animal's death a week later.

"Having the mayor here tonight means one thing - the city's groundhogs are safe," said emcee Alfred Smith IV, great grandson of the dinner's namesake former governor. "By the way, this never would have happened to Mayor Bloomberg - the groundhog wouldn't have fallen far."

Smith then turned his attention to Cuomo, noting, "The governor just got back from Afghanistan -- the only place more hostile than Albany."

"By the way, is Rob Astorino here?" he asked of Cuomo's badly trailing Republican opponent, who was in fact in the room. "Seriously, I don't know what he looks like."

Broadcaster Charlie Rose, the keynote speaker, said after books like "Killing Jesus," "Killing Lincoln," and "Killing Kennedy," Fox News host Bill O'Reilly's next tome would be, "Killing Groundhogs - and you know where he's going to go for his researcher."

He also singed Cuomo over his dismantling of the anti-corruption Moreland Commission.

"Preet Bharara was supposed to be here, but before the invite went out, Gov. Cuomo abolished the independent commission on invitations," he said in a reference to the U.S. Attorney probing the Moreland matter.

And Rose jumped to the defense of Sen. Kirsten Gillibrand, who revealed in her recent book that fellow members of Congress mocked her weight.

"It was an absolute outrage, all of us agree," he said. "The only excess weight the Senate Democrats are carrying is Barack Obama."

Civil Division

Rikers Island

New York Daily News

Rikers Island inmate facing drug charges dies after apparent seizure

EXCLUSIVE: Victor Woods, 53, began convulsing at 3:55 a.m. inside an open housing unit at the Anna M. Kross facility on Rikers, Correction Department records show. Fiancé charges correction officers ignored his pleas for help and that it took ambulance 25 minutes to arrive.

By Reuven Blau

Wednesday, October 1, 2014, 9:27 PM

An inmate at Rikers Island awaiting trial on a drug charge died Tuesday night after suffering what was described as a seizure, multiple jail sources said.

Victor Woods, 53, began convulsing at 3:55 a.m. inside an open housing unit at the Anna M. Kross facility on Rikers, Correction Department records show. "He had some kind of fit," a jail insider said. "It's on videotape."

Woods, who was jailed Sept. 25, worked construction and rented a room in Laurelton, Queens, had complained to jail officials about his need for medication to treat high-blood pressure, said fiancée Terri Scroggins, 40.

"He has high blood pressure and they never gave him any blood-pressure medicine," she said. Woods was so worried he asked a cell mate to call Scroggins, who lives in Boston, should anything happen to him. Scroggins said that inmate called her on Wednesday, not long after a Correction official broke the news to her. The inmate said about 25 minutes passed before for an ambulance arrived, Scroggins said.

"He was calling for help. They just let him die," she said.

Correction officials could not say how much time passed before medical help was called or arrived.

"Any death in custody is a tragedy," said Correction Department spokesman Robin Campbell. "We send our condolences to Mr. Woods' family. At this time, we do not believe there were suspicious circumstances."

Woods' next court date was scheduled for Nov. 6. The details of his criminal case were not immediately available because the file was sealed after his death.

"He was a good man," said Fran Brown, who rented the room to Woods about a year ago.

Ed Reed for the Office of Mayor Bill de Blasio Mayor Bill de Blasio announces appointee Joseph Ponte, Department of Corrections Commissioner at City Hall on Tuesday, March 11, 2014. Credit: Ed Reed for the Office of Mayor Bill de Blasio

Woods' death follows a series of high-profile inmate fatalities over the past year at Rikers Island that have prompted criminal and internal investigations and outside calls for reform of inmate care.

Those deaths included a mentally ill inmate who baked to death in an overheated solitary-confinement cell last winter, and an inmate died after he sexually mutilated himself while in a solitary lockup for seven days. In both cases it appears officers failed to properly respond, according to multiple sources.

Jail commissioner Joseph Ponte has promised sweeping reforms, but also has hired candidates for two top department positions who oversaw a scandal-scarred facility for troubled teens.

Over the past several years, violence has spiked at Rikers Island due in part to repeated staff cuts and an influx of mentally ill inmates. Jail bigwigs estimate that 40% of the inmate population has some type of mental illness and that many of those inmates do not receive treatment for the conditions.

In August, Manhattan U.S. Attorney Preet Bharara said Rikers Island is "broken" hellhole where adolescent inmates run amok and are routinely beaten by jailers when they step even an inch out of line, according to a blistering report calling for immediate changes at the island penal complex.

"There is a pattern and practice of conduct at Rikers that violates the constitutional rights of adolescent inmates," Bharara said, announcing the findings of a two-year investigation by his office into the treatment of inmates ages 16 through 18, "most of whom have not yet been convicted of crime, and about half of whom have been diagnosed with a mental illness." Those teens are being subjected to "a place where brute force is the first impulse rather than the last resort."

Last month, he threatened to take legal "action" against the city jail, noting that "questionable promotions" of Rikers bigwigs raised concern the city was not complying with his orders of reform.

Auto Loan Investigations

New York Times

Loan Fraud Inquiry Said to Focus on Used-Car Dealers

By Jessica Silver-Greenberg and Michael Corkery

October 1, 2014 10:00 pm

Lenders in the housing boom created so-called liar loans, which enabled borrowers, even those with no income or assets, to inflate their income. Government authorities are now taking aim at a new generation of liar loans. Only this time it is subprime auto loans.

Federal and state authorities, a group that includes prosecutors in New York, Alabama and Texas, are zeroing in on the most powerful, and arguably the least regulated, rung of the subprime auto loan chain, used-car dealerships, according to people briefed on the investigations. Already, they have found hundreds of fraudulent loans that together total millions of dollars.

At their center, the people said, the investigations are examining whether dealerships are inflating borrowers' income or falsifying employment information on loan applications to ensure that anyone, no matter what their credit quality, can buy a car.

Some of the same dynamics — the seemingly insatiable demand for loans as the market heats up and the dwindling pool of qualified borrowers — that helped precipitate the 2008 mortgage crisis are now playing out, albeit on a smaller scale, in the auto loan market. Under pressure to generate more and more loans, salesman at some used-car dealers are suspected of getting inventive.

It is not known how many subprime auto loans have been made on the basis of falsified applications. Still, such loans can corrode confidence in the booming market for securities that are created from bundled subprime auto loans. If loan applications are falsified, leading borrowers to ultimately fall behind on their bills, that could spell trouble for investors, which include insurance companies and public pension funds.

More immediately, such inflated applications can mean that some of the most vulnerable borrowers are saddled with auto loans they can never afford to repay. The loans, which often come with interest rates that soar to 29 percent, can haunt borrowers long after their cars are repossessed, further tarnishing their credit scores and plunging them into bankruptcy. Margaret Zollner, 71, does not have a job and receives food stamps, so she was shocked when a car salesman in Queens suggested she co-sign an \$18,487 loan so her friend, whom she drove to the dealership, could buy a 2013 Chevrolet. She said she repeatedly explained to the car salesman that she could barely keep up with her own bills. Still, Ms. Zollner said, a salesman falsely listed her annual income as \$60,000 on the application, a copy of which was reviewed by The New York Times.

While the car was ultimately repossessed, the nightmare for Ms. Zollner is just beginning. Her credit score has fallen, now hovering around 500, and she is about to declare bankruptcy. Ms. Zollner said she felt ashamed that she signed any documents. "I just can't believe that one stupid mistake would land me here."

Ms. Zollner's case is not currently under investigation. Yet interviews with government authorities and consumer lawyers, along with a review by The Times of lawsuits against dealerships in 15 states, suggest that the problem of inflated applications is widespread. The Times review of loan documents, including some produced in litigation, showed dozens of borrowers who said that dealers falsified their loan applications.

They are people like Matthew Pope, a 24-year-old Army sergeant living in Ohio, who makes roughly \$20,000 but whose income was listed as \$32,000 on a credit application for a 2008 Dodge Ram. And Nicole Batts, who lives in Hermitage, Tenn., and who learned after she bought a Dodge Avenger that her application included a fake copy of her driver's license that listed the address of a sales manager at the dealership, not hers.

"I see more fraud now than I have seen in my entire career," said Ronald Burdge, a consumer lawyer in Dayton, Ohio, who has 48 clients whose credit applications were falsified. "I am just one guy. What is happening in Atlanta or New York?"

Car dealers say their industry, like any large group of businesses, has the occasional rogue employee. But they say dealerships go to great lengths to ensure the accuracy of credit applications.

"There is no place for fraud," said Steve Jordan, executive vice president of the National Independent Automobile Dealers Association. Still, he noted, "There is a responsibility on behalf of the consumer who signs off on the terms and drives off in the car."

The handful of federal and state criminal cases against dealerships are scattered across the country. In January, two employees of a dealership in Odessa, Tex., were sentenced to federal prison after a federal prosecutor accused them of taking part in a scheme that generated more than 300 shoddy loans. Prosecutors in the Manhattan district attorney's office are also investigating patterns of fraud at local dealerships, according to two of the people briefed on the investigations, who declined to be named because the cases are not public.

And this summer, Joyce Vance, the United States attorney for the Northern District of Alabama, charged one sales manager at Serra Nissan in Birmingham and secured a grand jury indictment against a second employee at the dealership on counts of fraud and conspiracy for reportedly falsifying loan applications.

In that case, which is still pending, one of the former sales managers described a pervasive scheme at the dealership in which employees were under pressure to qualify customers for loans at virtually any cost. In a process the employee described as “fluffing,” they inflated borrowers’ incomes. Through that process, the court records show, a borrower who had \$11.03 in his bank account was made to look as if he had \$6,179.95.

“These cases should send a strong signal to dealerships that we are aware of this conduct and we aren’t going to tolerate it,” Ms. Vance said in an interview.

In a statement, Serra Nissan said, “Once the dealership learned of the allegations, we launched our own investigation, cooperated fully with authorities, reviewed our procedures and implemented additional safeguards.”

One of the former employees pleaded guilty in June. The other former employee is cooperating with the government, court records show. Those cases are harbingers of others that may materialize against dealerships, the people briefed on the investigations said.

Prosecutors are going up against an industry that has tremendous sway in Washington and in state capitols across the country. Wielding that influence, the dealers beat back an attempt to tighten regulation, winning a reprieve from being overseen by the Consumer Financial Protection Bureau.

The investigations are playing out as the market for loans to borrowers with poor credit is booming — a growth that has been the subject of a series of articles in *The Times*. In the second quarter, total auto loan originations were at the highest level since before the financial crisis, according to the Federal Reserve Bank of New York. The growth of subprime loans has been particularly rapid. Lenders originated \$20.6 billion in subprime auto loans in the second quarter, nearly twice as many as they did in the second quarter of 2010.

Signs of strain are emerging. In the second quarter, according to Experian, banks and credit unions reported their largest year-over-year increase in seriously delinquent auto loans since the second quarter of 2009 — a development industry analysts say could partly trace to fraud as borrowers who could never afford their loans in the first place fall behind.

While still in their early stages, the investigations are also examining whether lenders, including some of the nation’s largest banks and credit unions, are turning blind eyes to signs that the loans, which they scoop up from thousands of used-car dealers across the country, are fraudulent, the people with knowledge of the matter said.

The lenders note that they have rigorous controls in place to prevent fraud, routinely vetting their dealer partners and investigating complaints that arise.

If those safeguards fail and lenders unwittingly buy fraudulent loans from dealers, they are typically insulated from losses.

One protection: The lenders make a partial payment to the dealers for the loans, holding on to a chunk of money until a few months have passed since the loan was originated, a period of time when most fraud becomes apparent as borrowers, doomed from the outset, quickly default.

As more and more lenders clamor for loans, they are increasingly paying dealers the full amount for the loans upfront, industry analysts say, fostering an environment where fraud can more easily flourish.

Narcotics

Kristin Davis

New York Post

Manhattan Madam' gets 2 years despite teary plea

By Rich Calder

October 1, 2014 | 2:15pm

Notorious "Manhattan Madam" Kristin Davis moaned Wednesday about her "hell" while locked up at Rikers Island — but her teary-eyed speech didn't keep a federal judge from sentencing her to two years in prison for peddling prescription pills.

The former hooker booker for ex-Gov. Eliot Spitzer who then ran against him as a candidate for city comptroller had begged Judge Edgardo Ramos for a non-jail sentence. She claimed it would put a cosmetology license she recently earned at risk and force her to relive the painful four months she spent at Rikers in 2008 over her prostitution conviction.

"An hour inside of Rikers in solitary was hell. I could not even begin to describe the experience as eloquently as I would like to," said a choked-up Davis, who has previously alleged being cavity-searched and forced to stand naked without moving for hours at a time while more than a dozen Rikers guards catcalled her.

The buxom bleach blonde in 2010 even wrote then-Attorney General Andrew Cuomo to investigate Rikers conditions, also citing other complaints, including unusable toilets filled with maggots, being denied water on days the jail was well above 100 degrees and not being provided soap, shampoo and toothpaste.

Although Cuomo never investigated Rikers, the city lockup was recently the subject of an unrelated, scathing report by Manhattan US Attorney Preet Bharara, who demanded an overhaul in policies.

Rikers has come under fire recently for civil rights violations and several suspicious inmate deaths, including one of a man who "baked to death" in an overheated cell in February.

Although Ramos did cut Davis a slight break — she had faced 41 to 51 months in jail under a plea deal — he said she deserved prison time because she "didn't learn" her lesson from her previous conviction.

The judge also ripped her for authoring a book about her experiences as the "Manhattan Madam" and not taking advantage of having a good education or a loving family. He pointed out that he routinely has "young men of color" before him for similar crimes who are "born into poverty" and have "no chance in life."

"Prescription drugs pose the same risk as heroin and crack," he said.

Ramos also sentenced her to two years of supervised release after she gets out of prison, and Davis must forfeit \$1,765 to the government that she made as a drug dealer.

Davis, 39, had pleaded guilty in March to illegally peddling hundreds of sleeping pills, muscle relaxants and other prescription pills between January and April 2013.

Her lawyer Dan Hochheiser had asked Ramos to consider a sentence of probation, saying his client has been a "productive member of society" since her August 2013 arrest. He said she spent 1,000 hours studying to earn her cosmetology license and that she is currently working 55 hours a week at two jobs in the field.

He claimed putting her back in prison would leave her "jobless and homeless" again and force her to rely on her elderly mother for support once she gets out.

Davis afterward said she plans to resume her cosmetology career after prison and that she won't be appealing the judge's sentencing ruling. She must report to a minimum-security prison in six weeks.

The feds say she sold the pills to a Manhattan dealer from whom she had bought drugs in the past, and who secretly began working as an informant after getting arrested in December 2012.

The notorious hooker booker made headlines last year when she filed papers to run as a Libertarian Party candidate for city comptroller. She had announced her brief campaign in July 2013 a day after Spitzer — who resigned in disgrace over a prostitution scandal — said he would challenge Manhattan Borough President Scott Stringer for the Democratic nomination.

Davis dropped out following her arrest, and Stringer defeated Spitzer.

Davis' escorts included foxy blonde Rebecca Woodard, who claims in a tell-all book that Spitzer lusted after violent sex — revealing in graphic detail how the love gov pinned her to a bed inside a posh Murray Hill apartment and then gripped her by the neck until she feared for her safety.

The rough sex was scripted by Spitzer, who wanted his \$1,500-a-session hooker to follow a role-play dialogue in which she would pretend she had just taken a self-defense class.

Davis has told Ramos that she is currently seeing a psychiatrist and taking the insomnia-relieving drug Ambien. In January, she told him she was previously heavily medicated for a five-year period through prescription meds and that it affected her "cognitive abilities."

New York Daily News

Manhattan Madam Kristin Davis gets two years in prison for selling pills to government informant

Although Kristin Davis is guilty of selling a variety of medications, such as amphetamines, oxycodone and muscle relaxants, she told the judge she is reformed.

By Stephen Rex Brown

October 1, 2014, 12:51 PM

Manhattan Madam Kristin Davis was sentenced Wednesday to two years in prison for selling hundreds of pills to government informant.

The bleach blond former pimp's pleas for mercy fell on deaf ears, as the judge said her caring family and relative success through life left her no excuse for selling the mix of prescription drugs like amphetamines, oxycodone and muscle relaxants.

"The fact of the matter is you should not be standing here. You know better," Judge Edgardo Ramos said to Davis in Manhattan Federal Court.

"You involved yourself in this for no apparent reason but greed."

Davis told the judge she was on the straight and narrow path and that she was pursuing a career in cosmetology. She said she'd started dealing drugs after a traumatic four months in Rikers Island related to her previous arrest for promoting prostitution.

"One hour inside of Rikers in solitary confinement was hell," Davis said, tearing up.

"I came out of four months in solitary with a lot of issues."

Davis was also sentenced to two years' supervised release, mandatory drug and mental health treatment.

Ramos ordered she forfeit \$1,765 — the value of the pills she sold between January and April of last year.

Davis notoriously claimed to have served as Gov. Eliot Spitzer's hooker booker.

Last year she even ran for city controller — against Spitzer and the eventual victor, Scott Stringer.

She was busted for selling the drugs in August 2013, cutting short her campaign.

Davis said she'll pursue her career in cosmetology once she's out of prison.

White Plains

Westchester Housing NEW YORK DAILY NEWS

Gov. Cuomo raises goal for MWBE contracts, criticizes Rob Astorino over housing policies in Westchester

BY Glenn Blain

October 1, 2014

Gov. Cuomo on Wednesday put a new benchmark in place for the award of state contracts to minority and women owned businesses – and then he used the occasion to put political heat on his Republican opponent.

Cuomo, speaking to a MWBE Forum in Albany, called for the state to award 30% of its contracts to businesses that are owned by women or minorities. The state currently awards about 25% of its \$8 billion in annual contracts to MWBE certified companies.

"We will hit the 30% and we will tell all the other states to follow us," Cuomo said at the forum to a roaring ovation to the crowd.

Cuomo said the MWBE program was one of the state's most effective programs at combatting what he called the more subtle forms of racism, including workplace and housing discrimination.

"I call it racism with a smile," the governor said. "it is more subtle but it is just as insidious."

A few moments later he added: "It is the community that puts zoning in place because they don't want t affordable housing coming into their community and they don't want the people who come along with the affordable housing in their community. That is discrimination and it exists today and it is alive and well and it is illegal my friends."

Cuomo's remarks come as Republican challenger Rob Astorino, who is the county executive of Westchester, battles the U.S. Department of Housing and Urban Development over what the federal agency claims are overly restrictive zoning codes in the suburban county.

"You have the federal government that has pulled federal funding from Westchester County because they believe Westchester County is violating the fair housing laws," Cuomo told reporters afterward. "I believe it is the only county in the United States that they have done that to."

Cuomo, who lives in one of the Westchester towns cited by HUD as being restrictive, later added: "I have no reason to disagree with the federal findings."

Astorino, in a statement, slammed Cuomo's remarks and called for him to apologize to Westchester residents.

"How dare Andrew Cuomo disparage Westchester families with a blatantly false and inflammatory charge like that," Astorino said in the statement.

"Westchester County is the fourth most diverse county in New York State, tied with Manhattan, and we welcome that diversity," Astorino continued. "Andrew Cuomo ought to be ashamed of himself. He also needs to explain what he's doing living in a community that he claims is discriminatory."

LoHud

Cuomo knocks Astorino over Westchester HUD fight

Joseph Spector

October 2, 2014

ALBANY – Gov. Andrew Cuomo on Wednesday criticized Westchester County's refusal to comply with a federal housing settlement, knocking Rob Astorino, the county executive and GOP gubernatorial candidate, for disregarding the federal mandate.

Astorino has battled the U.S. Department of Housing and Urban Development since he took office in 2010 over a 2009 fair housing settlement, contending the deal takes away land-use decisions from local towns. It's led HUD to withhold more than \$20 million in grants to local governments since 2011.

Cuomo, who lives in New Castle and headed HUD in the 1990s, said the county should comply with the federal desegregation settlement: "I have no reason to disagree with the federal findings."

"I used to bring these cases as HUD secretary," Cuomo told reporters in Albany, his first comments about the case.

"There's a science to it, and they are saying that when you look at the numbers and the statistics, that Westchester County is violating the fair housing law. I believe today they took \$5 million again for violating the Fair Housing Act, which is very, very serious."

Asked about Astorino's contention that the settlement usurps local control, he responded: "News bulletin: Federal law applies in localities."

Astorino ripped Cuomo's comments, saying he owes the county an apology for "slander."

"How dare Andrew Cuomo disparage Westchester families with a blatantly false and inflammatory charge like that," he said in a statement. "Andrew Cuomo owes the families of Westchester an immediate apology."

Astorino said Westchester has submitted eight studies to HUD that show "the only barrier to housing in many Westchester communities is income. Anyone can live anywhere they can afford in this county, just as in any other county."

Astorino's campaign said the original case was brought in 2006 under former County Executive Andy Spano, a Democrat. The campaign questioned why Cuomo would live in New Castle — "that he thinks discriminates?"

Cuomo's campaign has attacked Astorino for not complying with the settlement, and the Rev. Al Sharpton, who is supporting Cuomo's re-election, visited Mount Vernon in March to implore Astorino to settle the lawsuit. "You want a promotion? Do the job you got right now," Sharpton said at the time. "Settle the lawsuit."

The first attack ads Democrats ran on Astorino were in April on the HUD issue. Election Day is Nov. 4. "New York has a proud history of fighting discrimination," one of the two TV ads begins. "That's why it's shocking that Rob Astorino has repeatedly violated federal anti-discrimination laws for years. He's the only county executive in the nation that refuses to comply."

Ramapo

LoHud

Ramapo referendums stymied by big turnout, confusion

By Steve Lieberman and Akiko Matsuda

October 1, 2014

RAMAPO – An overwhelming turnout combined with a lack of clarity over who could vote Tuesday made it all but certain the results of the referendums on town government reform would wind up in court.

The Town Board's own resolution allowing the referendums contained vague wording on voter registration, and even on the day of the election some poll workers and members of the public were unclear whether residents without registration could vote. Some voters who called The Journal News reported seeing or hearing about people who were turned away at polling locations. Some polling sites ran out of affidavit ballots, leaving people waiting or not voting.

The problem seemed to have emerged because a distinction was not made between the two sets of state laws regulating elections. When the Rockland County Board of Elections administers elections, the county agency follows state election law. But when a town runs an election, like Ramapo did Tuesday, it's operated by the town under the state's town law. While residents are required to be registered to vote in the county-run elections, in a town-run special election residents without voter registration can cast ballots as long as they are U.S. citizens who are 18 or older and have been town residents at least for 30 days.

Ramapo Town Attorney Michael Klein said when Ramapo held a referendum on its ballpark in 2010, the town followed the same rule. But Tuesday's election was different in the number of unregistered voters who came to the polls.

"If I had to pick one thing that was problematic and surprising, it's the number of people who wanted to vote who haven't been registered for general elections," Klein said. "For whatever reason, both those people who are in favor of the propositions and those people who are opposed to it, they got the word out to their constituency that even if they haven't registered to vote, they're still able to vote in this particular election."

As a result, some polling locations ran out of affidavit ballots, which were used by unregistered voters to vote. But at the end of the day, all residents who wanted to vote were able to vote, Klein said.

Critics claimed Ramapo Town Clerk Christian Sampson didn't publicize the election rules or prepare properly. Sampson didn't return a phone message seeking comment. Klein said the town fulfilled its obligations required by law.

Tuesday's referendum asked voters whether to increase the number of Town Board members from four to six, and whether to split the town into geographical districts — or wards — to elect a Town Board member from each district. Currently, four Town Board members are elected at large and don't represent specific areas of the town.

Because state Supreme Court Justice Margaret Garvey ordered that all election paperwork be impounded in response to local activists' petitions, it's unclear how many unregistered voters actually cast ballots, Klein said.

Garvey issued her order based upon petitions filed Tuesday afternoon by Michael Parietti and Robert Romanowski, who challenged the town's decision to let unregistered voters cast ballots and to not count absentee ballots that arrived after election day.

Klein said the town has until Monday to respond to Garvey's order. He said she's scheduled to set the ground rules to count the ballots Oct. 10. He said the Rockland Board of Elections will count the machine ballots while Sampson and election inspectors will count the absentee and affidavit ballots.

One lawmaker called for amending state law to clear up confusion over who can vote in local elections.

"I think it is abundantly clear that the laws governing referendum elections need to be reviewed and amended,"

Assemblyman Kenneth Zebrowski, D-New City, posted on Facebook. "The process of who can vote and how the votes are cast and counted must be certain and not open to misinterpretation."

Rockland County Executive Ed Day called for a criminal investigation Wednesday into Ramapo's referendums. Posting on his personal Facebook page, Day urged Rockland District Attorney Thomas Zugibe to investigate "in response to a number of substantive messages I have received from many of you, coupled with details of alleged voter fraud and improprieties."

LoHud

Editorial: Muddled state law adds to Ramapo vote mess

October 1, 2014

The only thing that's clear after Ramapo's chaotic referendum vote is that state law is muddled. New York needs to clarify who can vote, how they can vote, and who gets to determine new boundaries.

Few should be surprised that Ramapo's attempt to finally hold a vote on a ward system devolved into utter chaos. There's so much confusion, a state Supreme Court judge has impounded the ballots, which won't be counted until Oct. 10; a state legislator has called for changes in New York laws that govern such elections; and amid accusations of wrongdoing, Rockland's county executive has called on the county's district attorney to investigate.

Tuesday's ballot included two referendums, on whether to expand the Town Board from four to six members, and whether those members should be elected by, and represent, "wards," or sections of the town.

The fallout from Tuesday's mayhem makes clear that state law is muddled. New York law needs to make clear who can vote, how they can vote, and who gets to determine new boundaries.

Some points of contention:

- Town Clerk Christian Sampson said absentee ballots would only be counted if they arrived at the Town Clerk's Office before 5 p.m. on election day. On Tuesday, state Supreme Court Judge Margaret Garvey ruled that the standard for elections would be used, that is, ballots postmarked the day before election day, and arriving at the Town Clerk's Office within seven days after the election could be counted.
 - The town clerk said that U.S. citizens, at least 18 years old, could vote, whether registered to vote or not, as long as they can show they are town residents. State law does allow nonregistered voters to participate in special elections like referendums, but poll workers in some locations seemed unaware, and potential voters were turned away.
 - Many polling stations had limited supplies of affidavit ballots, which would be used by those who aren't registered voters but are town residents.
 - Town Supervisor Christopher St. Lawrence, a Democrat, announced that poll watchers were not be allowed, citing a state law that ties poll watching to elections with candidates on the ballot, but not for proposition votes, and a judge backed him up.
 - Accusations of wrongdoing include reports that a phone bank advocating a "no" vote portrayed itself as the Rockland Board of Elections. A volunteer denies that, but claims the "yes" camp tried to jam its phone lines, so people who needed a ride to the polls couldn't get through.
 - Even though state law gives the job of drawing up town wards to the county Board of Elections, in 2004, amid an earlier push for a ward system, the Ramapo Town Board passed a local law that granted itself such duties.
- Ramapo has long been polarized. Many decry the supervisor's willingness to allow rapid growth, despite concerns about the strain on infrastructure. Members of the town's large ultra-Orthodox and Hasidic community, which wields a powerful bloc vote, are generally seen as benefiting from such policies. Splitting the town into six wards could limit the bloc vote's power, at least for a while; a larger board would also make it harder to bust the state's tax cap or pass other controversial legislation.

On Wednesday, state Assemblyman Ken Zebrowski, D-New City, and Sen. David Carlucci, D-New City, vowed action. They, along with Assemblywoman Ellen Jaffee, D-Suffern, had already expressed concern about the process, before a single vote was cast.

Such attention can come none too soon. On Nov. 4, North Castle residents vote on referendums to introduce a ward system and increase their Town Board.

Times Herald-Record

Dissolution vote over, time to vet the challenges

By Andrew Beam

October 2, 2014

BLOOMINGBURG — Now that approximately 200 votes have been challenged and sequestered in the village dissolution vote, it's time for officials to determine if people actually live where they say they do.

The result of Tuesday's vote will decide whether the eastern Sullivan County village will dissolve into the Town of Mamakating. However, that might not be known until November because of the volume of challenges.

The Sullivan County Board of Elections will give the list of challenged voters to the Sullivan County Sheriff's Office, said its commissioner, Rodney Gaebel.

"We're hunter gatherers," said Undersheriff Eric Chaboty. "We send deputies to the addresses listed on the registration and determine if they live there."

During the March mayoral election, Chaboty said deputies visited a home where there were supposedly 20 registered voters. However, no one was home when they arrived.

"It was gutted and being renovated," Chaboty said. "We then report back to the Board of Elections with that information. What action they take is up to them."

That election also had more than 100 votes challenged, mostly by opponents of Shalom Lamm's 396-home Hasidic development. They were all eventually thrown out.

Gaebel said sending out questionnaires to those who have been challenged can also help in the investigation.

"If it comes back as undeliverable, obviously they gave us the wrong address," Gaebel said. "If they don't bother to send it back, that could be a factor in our determination."

Activists also conducted their own investigations to submit voter challenges.

Joseph Kolakowski of Bethel — a Lamm supporter — said the more than 30 challenges he filed were based on voters challenged during the March election, but whose names still appeared on the registration rolls.

Many of them moved out of the area, he said, but were still registered to vote.

"These homes now have other people who live there," Kolakowski said.

Holly Roche, president of the Rural Community Coalition, which opposes Lamm's development, was one of the people who was behind more than 190 challenges of voters who said they lived in Bloomingburg buildings owned by Lamm. She and 12 other residents observed homes they said were empty in March but still had registered voters whose votes were eventually thrown out. Those voters were still registered for the dissolution vote, she said,

Roche said the lights of their buildings were never turned off. But she believes no one lived in the buildings because there was no furniture inside.

"What we saw this year was a slightly different kind of performance," Roche said. "There was more of an effort to give an impression people were living there."

Chaboty said the sheriff's department does more than just observe. "We go and talk to people," he said.

Complex Frauds and Cybercrime

James Carson

LoHud

Ex-NYPD cop from Yorktown stole \$300G in disability fraud, feds say

Jonathan Bandler

October 2, 2014

A retired New York City police officer from Yorktown was arrested Wednesday on federal charges that he bilked Social Security out of more than \$300,000 in disability benefits while working over the past decade as director of security for Tourneau, the luxury watchmaker.

James Carson, 50, was not supposed to be working while collecting disability after claiming a debilitating back injury that forced him to retire in 1991. But investigators found he was employed at Tourneau since at least 2004. He even won a prestigious award from the National Retail Federation four years ago for his work investigating credit card schemes targeting the company.

Carson was taken into custody at his home and appeared Wednesday afternoon in federal court in Manhattan. He was released on \$600,000 bond.

"Not only did James Carson allegedly tell a series of lies to pocket disability benefits to which he was not entitled, but he then took sophisticated steps to conceal his fraudulently obtained income from the Social Security Administration," U.S. Attorney Preet Bharara said in a statement.

Since 1990, Carson collected more than \$650,000 in Social Security benefits — including at least \$306,431 while working as Tourneau's director of security, officials charge.

A Tourneau spokesman did not return a phone message.

In April, Carson was interviewed at the Social Security Administration regarding his continued receipt of benefits. He showed up limping with a cane and claimed that he had not worked since 1995 because of his back pain, authorities say. On various forms he indicated that he had no other income since his disability began; relies on his wife to drive him places because he can't drive due to the pain; and uses a cane at all times.

Asked about places he goes on a regular basis, Carson replied, "I don't really go anywhere on a regular basis."

But a month earlier, Special Agent Peter Dowd, an investigator with the Social Security Administration's Office of the Inspector General, said he had observed Carson drive away from the parking garage at Tourneau's Long Island City office. Later in the spring, Dowd said he regularly tracked Carson driving between his home and the office, and on one occasion saw him enter the garage from a stairway, "walking without apparent difficulty and without a cane," get into his car and drive away.

Authorities said Carson tried to hide his income from the company by having Tourneau pay his salary to a corporation that was associated with a relative at his home address.

According to New York state records, JACC Security Corp. was incorporated in July 2004 at Carson's home address. The chief executive officer was listed as Carmen Carson.

Edward Ryan, special agent in charge of the Office of the Inspector General, said the Social Security Disability Insurance Trust Fund was meant to provide "a safety net for the truly disabled, not (line) the pockets of scammers and thieves." He said it was "particularly troubling" that an ex-law enforcement officer would commit such a crime, especially when he was "already receiving (a) generous taxpayer-financed pension."

Carson was charged with theft of government property, making false statements and failing to report income and faces up to 20 years in prison if convicted.

His lawyer, Kevin Kearon, declined to comment on the allegations against Carson.

"We're reviewing the charges and we intend to defend the charges in court," Kearon said.

Matters of Interest

Senior Prosecutor at Justice Department Plans to Step Down

New York Times

By Ben Protess

October 1, 2014 2:04 pm

When David A. O'Neil took control of the Justice Department's criminal division this spring, he homed in on a case that loomed large over Wall Street.

Now that the case is closed — prosecutors extracted a guilty plea from BNP Paribas in June, a rare criminal action against a giant global bank — Mr. O'Neil is moving on.

In an interview on Wednesday, Mr. O'Neil said he planned to depart the government at the end of the week, capping an eight-year Justice Department career. Mr. O'Neil has not announced his next step, though he will probably swing through Washington's revolving door, that symbolic portal connecting former prosecutors with white-shoe law firms.

Mr. O'Neil is the latest senior prosecutor to leave the Justice Department's Washington headquarters, known as Main Justice. Jeffrey H. Knox, the head of the criminal division's fraud section, recently joined the law firm Simpson Thacher & Bartlett.

The biggest shake-up, of course, happened last week when Attorney General Eric H. Holder Jr. announced plans to step down once a successor was confirmed. Mr. Holder's announcement came just weeks after one of his top deputies, Tony West, left for the private sector.

Mr. O'Neil, who ran the criminal division on an acting basis, has signaled for weeks that his departure was imminent. He recently handed over the criminal division to Leslie R. Caldwell, whom President Obama nominated for the job, and assumed a deputy role overseeing the fraud section during the transition period.

In anticipation of Mr. O'Neil's departure, Ms. Caldwell called Mr. O'Neil "a great asset to the criminal division" while Mr. Holder issued a statement praising the veteran prosecutor as "a tremendous leader and an exceptional lawyer."

"I wish him all the best as he takes the next step in his remarkable career," Mr. Holder added.

Mr. O'Neil, a Harvard Law School graduate who was a clerk for Justice Ruth Bader Ginsburg, reached a turning point in his career early this year. After years of holding senior roles behind the scenes in Washington, he was named acting chief of the criminal division, which oversees some of the most prominent investigations into Wall Street.

Of the hundreds of cases he inherited from his predecessor, Mythili Raman, none grabbed more headlines than the BNP case.

BNP, France's biggest bank, was scrambling to avoid a criminal charge for doing business with countries like Sudan and Iran that the United States had blacklisted. A charge, the bank's lawyers argued, might throw the company and the broader financial system into turmoil.

The criminal division, along with federal and state prosecutors in Manhattan, called the bank's bluff. They secured a guilty plea, explaining that the alternative was an indictment.

The case set a precedent for banking prosecutions, signaling that guilty pleas might increasingly replace so-called deferred prosecution agreements as the Justice Department's preferred form of punishment. It also provided a capstone to Mr. O'Neil's prosecutorial career.

Mr. O'Neil, who was an associate at the law firm WilmerHale before joining the government, became an assistant United States attorney in Manhattan in 2006.

In 2009, he moved his family to Washington, where he joined the solicitor general's office. In the months that followed, Mr. O'Neil argued three cases before the Supreme Court and helped handle the government's effort to uphold the 24-year sentence of Jeffrey K. Skilling, the former Enron chief executive convicted on charges related to his role in the fraud that led to the energy giant's collapse.

Mr. O'Neil — whose wife, Laura Billings, is also a former prosecutor who became a white-collar defense lawyer — was later named chief of staff to James M. Cole, the Justice Department's second in command. In that role, Mr. O'Neil advised Mr. Cole on several Wall Street investigations and helped negotiate a settlement that allowed huge technology companies like Google and Microsoft to publicly report additional information about government requests for customer data.

He also played the role of traffic cop, helping Mr. Cole settle disputes among United States attorneys' offices and Main Justice.

Neil H. MacBride, the former United States attorney in the Eastern District of Virginia whose cases often overlapped with other jurisdictions, recalled that Mr. O'Neil was sometimes "more State Department than Justice Department" as he "mediated potential turf battles across Justice Department offices."

"He was doing shuttle diplomacy."

JPMorgan Chase Says More Than 76 Million Accounts Compromised in Cyberattack

By Jessica Silver-Greenberg and Matthew Goldstein

October 2, 2014 12:50 pmOctober 2, 2014 12:50 pm 15Comments

The S.E.C. filing

Updated, 5:02 p.m. |

A cyberattack this summer on JPMorgan Chase compromised more than 76 million household accounts and seven million small-business accounts, making it among the largest corporate hacks ever discovered.

The latest revelations, which were disclosed in a regulatory filing on Thursday, vastly dwarf earlier estimates that hackers had gained access to roughly one million customer accounts.

The new details about the extent of the hack — which began in June but was not discovered until July — sent JPMorgan scrambling for the second time in just three months to contain the fallout.

As the severity of the hack became more clear in recent days and new information was unearthed, some top executives flew back to New York from Naples, Fla., where many had convened for a leadership conference, according to several people briefed on the matter.

Hackers were able to burrow deep into JPMorgan's computer systems, accessing the accounts of more than 90 servers — a breach that underscores just how vulnerable the global financial system is to cybercrime. Until now, most of the largest hack attacks on corporations have been confined to retailers like Target and Home Depot.

And unlike those retailers, JPMorgan has far more sensitive financial information about customers. Investigators in law enforcement remain puzzled by the attack on the bank because there was no evidence that the attackers looted any customer money from accounts.

The lack of any apparent profit motive has generated speculation among law enforcement officials and security experts that the hackers were sponsored by foreign governments either in Russia or in southern Europe.

By the time JPMorgan first suspected the breach in late July, hackers had already "rooted," or gained the highest level of privilege to, more than 90 computer servers, according to several people briefed on the results of the bank's forensics investigation who were not allowed to discuss the breach publicly.

It is still not clear how hackers managed to gain deep access to the bank's computer network. By the time the bank's security team discovered the breach in late July, hackers had already gained the highest level of administrative privilege to more than 90 of the bank's computer servers, according to several people briefed on the results of the bank's forensics investigation who were not allowed to discuss it publicly.

More disturbing still, these people say, hackers made off with a list of the applications and programs that run on every standard JPMorgan computer— a hacker's road map of sorts — which hackers could cross check with known vulnerabilities in each program and web application, in search of an entry point back into the bank's systems.

These people said it would take months for the bank to swap out its programs and applications and renegotiate licensing deals with its technology suppliers, leaving hackers plenty of time to mine the bank's systems for unpatched, or undiscovered, vulnerabilities that would allow them reentry into JPMorgan's systems.

In the filing, JPMorgan said there was no evidence that account information, including passwords or Social Security numbers, were taken.

The original discovery of the hack sent ripples through the financial system and prompted an investigation by the Federal Bureau of Investigation, even as Wall Street, which has been a frequent target for hackers in recent years, worked to guard against the threats.

The bank was also forced to update its regulators, including the Federal Reserve, on the extent of the breach. The bank said at the time that there was no indication that any customer money was taken and that it believed it had secured all its systems.

Over two months, hackers gained entry to dozens of the bank's servers, said three people with knowledge of the bank's investigation into the episode.

Correction: October 2, 2014

An earlier version of the headline with this article misstated the extent of the cybersecurity issues at JPMorgan Chase.

While the bank found evidence of previously unknown hacking, it says the latest discovery does not constitute a breach separate from an earlier one.

New York State Assemblyman Charged With Theft

New York Times

By Yoni Bashan

Oct. 1, 2014

New York state Assemblyman William Scarborough was charged in state and federal courts Wednesday with embezzling more than \$80,000 by defrauding the state's travel-voucher system and stealing money from his own campaign account. Mr. Scarborough, a Democrat, withdrew or transferred \$40,000 from his campaign account between 2007 and 2014, Attorney General Eric Schneiderman said. Two charges of the 23 state charges were for grand larceny and the rest were for filing with a false instrument.

Mr. Scarborough was also indicted on 11 federal charges of theft and wire fraud for allegedly submitting 174 falsely prepared travel vouchers. Prosecutors said he claimed \$40,000 in allowances and reimbursements that he wasn't entitled to receive.

Mr. Scarborough pleaded not guilty to all the charges in separate appearances in state and federal courts in Albany. His lawyer, E. Stewart Jones, didn't return requests for comment.

If convicted of all charges, Mr. Scarborough, who has represented eastern Queens since 1994, would face up to 37 years in prison, Mr. Schneiderman said.

The investigation, known as Operation Integrity, was a joint effort between Mr. Schneiderman's office and State Comptroller Thomas DiNapoli's office.

The Moreland Commission to Investigate Public Corruption—a panel created and later disbanded by Gov. Andrew Cuomo—examined the issue of misappropriated campaign funds. A person familiar with the investigation said the referral didn't come from the commission, whose casework is now being examined by federal prosecutors.

The charges follow a string of other indictments and convictions against state and city elected officials, including Democratic Assemblyman William Boyland Jr., who was convicted in March for accepting bribes and submitting false travel vouchers.

Mr. Schneiderman said Mr. Scarborough was accused of committing crimes that represented a "shameful breach of trust," adding that the spurious usage of travel vouchers remained an "area of ongoing interest" for his office.

"There is supposed to be a system in place to verify they're accurate and we're looking into whether in fact that is the case," Mr. Schneiderman said.

Travel vouchers allow lawmakers to claim up to \$171 daily for living expenses and to be reimbursed for mileage and tolls while on official business.

When submitting the vouchers Mr. Scarborough often "certified that he had been in Albany" even though in many cases he wasn't there, spent less time there than he reported, or hadn't stayed overnight as claimed, the federal indictment said. In the state charges, investigators said bank records allegedly show that Mr. Scarborough withdrew about \$38,575 from the "Friends of Bill Scarborough" campaign account between January 2007 and March 2014.

The investigation found some of the money from campaign donors was withdrawn in cash while some was transferred directly out of the campaign account and into Mr. Scarborough's personal banking account, Mr. Schneiderman said.

Another five checks made out to the committee account, totaling \$3,450, were deposited directly into Mr. Scarborough's personal bank account, officials said.

The cash withdrawals were never documented in the campaign committee's financial records, Mr. Schneiderman said, a violation of state law. The same law mandates that campaign finances can't be used for personal expenses, which is how Mr. Schneiderman said Mr. Scarborough spent the money.

In March, Mr. Scarborough's offices in Albany and New York City were searched by the Federal Bureau of Investigation, and Mr. Schneiderman's office seized information from his hotel room, authorities said at the time.

Mr. Scarborough said then that agents were looking into the travel reimbursements. He added at the time that he believed his spending had been "within the guidelines of the Assembly."

Bill Mahoney, a researcher for the New York Public Interest Research Group, which advocates for changes to the public campaign-finance system, said he hopes the development would send a strong message to any others engaging in the same practices.

He said current campaign finance laws were sufficient, but the enforcement was lacking.

"We've got this whole alphabet soup of enforcement agencies that never seem to be responsible for indicting these legislators," Mr. Mahoney said.

City Would Stop Honoring Many Immigrant Detainment Orders

New York Times

By MATT FLEGENHEIMER

OCT. 2, 2014

New York City would stop honoring detention orders issued by United States immigration authorities without a warrant from a federal judge, according to a proposal announced by the City Council on Thursday.

The bill also stipulates that even with a judge's warrant, the New York Police Department may honor a request for a hold, known as a "detainer," only if the subject has been convicted of a "violent or serious crime."

Under the legislation, to be introduced by the City Council speaker, Melissa Mark-Viverito, next week, the city's Department of Correction would be prohibited from using resources to help enforce civil immigration laws "unless it is in furtherance of honoring a valid detainer request," according to Ms. Mark-Viverito's office.

And in another proposed shift cheered by immigration advocates, a companion bill would end the United States Immigration and Customs Enforcement's presence on Rikers Island, where it has long maintained offices.

"By further limiting I.C.E.'s role in the detention and deportation of immigrant New Yorkers, we set the national standard for the treatment of our immigrant population," Ms. Mark-Viverito said in a statement. "Families will no longer be needlessly torn apart by I.C.E.'s dragnet enforcement efforts."

Mayor Bill de Blasio said he supported the legislation, which he called "thoughtful and progressive," adding that it affirmed New York's status as "a city of immigrants, where dignity and an individual's right to due process will be protected."

A spokesman for Immigration and Customs Enforcement had no immediate comment.

The city's role in the enforcement of federal immigration laws has been of particular interest to the City Council in recent years. The body has already passed legislation to curb the city's cooperation with federal authorities. Currently, the city honors detention requests without a judge's warrant if a subject is accused of a felony or certain misdemeanors.

For years, federal officials have issued detainers asking local and state law enforcement agencies to hold immigrant detainees for up to 48 hours after they were scheduled for release from jail.

Many cities and counties around the country have said they would limit their cooperation with such requests from immigration authorities. Federal judges, as Ms. Mark-Viverito's office noted, have said that because federal detainer requests are voluntary, municipalities that honor them may be violating the Constitution. Courts in states including Pennsylvania and Rhode Island ruled earlier this year that immigration detainers did not amount to the probable cause required for people to be kept in jail.

Ms. Mark-Viverito's office, citing statistics from the city's Department of Correction, said that more than 3,000 people were transferred to federal immigration authorities for deportation "pursuant to a detainer" between October 2012 and September 2013.

Oct 2, 8:36 AM EDT

Alleged Beltran Leyva cartel boss nabbed in Mexico

By PETER ORSI and E. EDUARDO CASTILLO

Associated Press

MEXICO CITY (AP) -- Hector Beltran Leyva, the purported head of a feared drug gang allegedly run by his family, became the fourth brother to fall when soldiers grabbed him while dining at a seafood restaurant.

No shots were fired during the operation in San Miguel de Allende, a popular enclave for foreigners and artists in the central state of Guanajuato, federal criminal investigations chief Tomas Zeron said Wednesday night.

With the arrest, Mexico's government landed another high-profile blow against the country's cartels. At least nine capos have been killed or captured by security forces since 2009, including elusive Sinaloa cartel boss Joaquin "El Chapo" Guzman, one of the world's most wanted men.

Mexican authorities have said Beltran Leyva, 49, assumed leadership of the family's cartel after his brother Arturo was killed by troops in a gunbattle in late 2009. Two other brothers are behind bars for their involvement in the cartel.

The Beltran Leyva gang terrorized parts of central Mexico for years, including Morelos state to the south of Mexico City. It declined somewhat after the brothers' arrests and killing, but the U.S. Treasury Department said last November that the cartel appeared to be reorganizing and regaining some power.

"Obviously this is not the Beltran Leyvas' organization in its strongest moment ... but it continues to be a criminal organization capable of generating localized violence in some states," Mexican security expert Jorge Chabat said.

Zeron said Beltran Leyva had adopted a "moderate profile" after becoming head of the cartel to avoid detection. An 11-month investigation determined he had made his home in the central state of Queretaro, where he passed himself off as a businessman selling art and real estate, Zeron said.

He said Beltran Leyva was tracked to San Miguel de Allende and taken into custody along with a man suspected of being involved of the cartel's finances.

Zeron said DNA tests were being conducted to confirm the suspect's identity, but it was clear the man was Beltran Leyva. He did not take questions.

"This action proves the effectiveness of the public policy of security and law enforcement to achieve the Mexico at peace that we desire," President Enrique Pena Nieto's verified Twitter account said late Wednesday.

Zeron said the investigation was carried out jointly by various security agencies but the arrest was made by the army, an institution that has come under criticism recently for the June killing of 22 suspected gang members in a town south of Mexico City.

According to the U.S. State Department, Beltran Leyva, alias "The H" and "The Engineer," was born Feb. 16, 1965, in the northern Mexican state of Sinaloa, a cradle of drug trafficking.

He has been indicted in courts in the District of Columbia and New York. U.S. authorities have offered a reward of up to \$5 million for information leading to his capture, and Mexico had offered its own bounty of 30 million pesos, about \$3.7 million.

U.S. and Mexican authorities say the Beltran Leyva gang is responsible for trafficking drugs to the United States and Europe including cocaine, marijuana, heroin and methamphetamine. It was originally part of Guzman's Sinaloa cartel, but broke with that group in 2008.

Guzman was caught in the Pacific Coast resort of Mazatlan in February, more than a decade after he escaped from prison. In 2013, authorities in northern Mexico arrested Miguel Angel Trevino Morales, alias "Z-40," leader of the notorious Zetas cartel. Fellow Zetas leader and founder Heriberto Lazcano Lazcano, alias "El Lazca," was killed by marines the previous year.

Andrew Selee, a Mexico expert at the Wilson Center think tank in Washington, said the Beltran Leyva cartel established a pattern of extreme brutality that has since become the hallmark of other gangs such as the Zetas.

"It's a huge deal to get Hector Beltran Leyva, who took over the most bloodthirsty cartel in Mexico. The Beltran Leyva organization was known for corrupting the upper ranks of government and terrorizing communities," Selee said.

"Following on the capture of 'El Chapo' Guzman and Miguel Trevino, this is probably the most elusive figure who has still been at large."

Associated Press writer Adriana Gomez-Licon in Sao Paulo contributed to this report.